Appendix 2 – Scope of Work
Table of Contents

List of Tables

List of Figures

1   Program Overview

1.1 Background

In May 2006, the United States Department of Transportation (**US DOT**) announced a major initiative to reduce transportation system congestion. The National Strategy to Reduce Congestion on America's Transportation Network (the "Congestion Initiative") provides a blueprint for **Federal**, **State**, and local officials to consider as they work together to reverse the alarming trends of congestion. One major component of the Congestion Initiative is the Urban Partnership **Agreement** (**UPA**).

As announced in the US DOT's solicitation for Urban Partners published in the Federal Register on December 8, 2006 (at 71 FR 71231 (2006)) applicants designated by the US DOT as Urban Partners would adopt the "Four Ts": tolling (congestion pricing), transit, telecommuting, and technology - strategies believed to be effective on a combined basis in reducing traffic congestion. In return for such commitment, the US DOT, to the extent requested and appropriate, would

Figure 1: Toll Transportation Facilities

support its Urban Partners' implementation of the Four Ts with financial resources, regulatory flexibility, and dedicated expertise and personnel.

Following the UPA solicitation, US DOT designated the following entities as its Seattle-Area "Urban Partners":

1.   Washington State Department of Transportation (**WSDOT**)

2.   Puget Sound Regional Council (**PSRC**)

3.   King County, WA

On August 13, 2007, US DOT entered into an Urban Partnership Agreement with its Urban Partners to deliver the Lake Washington Congestion Management Project.

1.2 Program Overview

WSDOT currently operates two Toll Transportation Facilities: the **Tacoma Narrows Bridge** (**TNB**) and the **SR** 167 **HOT** Lanes. Under the Seattle-area Urban Partnership Agreement (UPA), WSDOT will implement (under a separate contract) a third **Toll Transportation Facility** to be located on SR 520 in the Seattle metropolitan area (shown in Figure 1). Tolls on SR 520 will be variable by time-of-day and collected via electronic **Transponder** and **Photo-Enforced Tolling** (i.e., license plate) techniques.

While electronic tolling has been operating within Washington since 2007 under the brand name of *Good To Go!*, Photo-Enforced Tolling with **Photo-Enforced Toll Billing** is new to Washington State. To support this new functionality, as well as the increased number of T**ransactions** from SR 520 and future planned Toll Transportation Facilities, WSDOT will implement a new Statewide **Customer Service Center** as a part of its scope under the UPA. **Transponder Toll Transactions** will continue to be debited from *Good To Go!* accounts in the new **CSC**, while Photo-Enforced Tolls will be billed to non-*Good To Go!* **Customers** and tracked through an accounts receivable process.

The vision for the new Statewide Customer Service Center (CSC) is described in the **Request for Proposals**, Section 1.2.

1.3 Vendor Scope of Work Overview

WSDOT is seeking a single **Vendor** to provide the **Staff**, **Systems**, Facilities, and supplies to establish, operate and maintain a Statewide Customer Service Center (CSC) operation in accordance with WSDOT **Business Rules** and the **Requirements** of the **Scope of Work**. The Vendor's scope shall span System **Implementation**, start-up of new Facilities and **Operations**, and ongoing Operations over the term of the **Contract**.

A fully integrated CSC **Services** and **Systems** solution will include provision of the management, Staff and Facilities required to undertake the day-to-day operation for a Statewide CSC including three walk-in Customer Service storefronts. Services and Systems consists of all Transponder and **Photo-Enforced Toll Transaction** processing, account management and Customer Service activities along with the provision, training and management of the personnel required to run the **Facility**. Items such as consumables, communications, office furniture, building leases, payment processing Services, printing and mailing Services and other Operational necessities are included in the Scope of Work.

The Vendor shall be responsible to provide qualified Staff in adequate numbers to meet demand for the full operation of the Statewide Customer Service Center, including accounting, Customer Service, and information technology. The staffing levels shall be adequate to process each Day's applications, Transactions, Photo-Enforced Toll images, Customer calls, in-coming/out-going mail, account replenishment, Customer online correspondence, marketing support activities and media inquiries, walk-in centers, and other daily Requirements within the time periods required under the Contract.

The Vendor shall be responsible to provide, install, operate, and maintain a state-of-the-art Customer Service Center **Software** application and associated computer **Hardware** to support the **Program** and to meet the Requirements of the Contract. This CSC System shall be an integrated, modern, and robust **Toll Transaction** and **Payment Transaction** processing, violation processing, Customer relationship management, and subsidiary accounting system that complies with Generally Accepted Accounting Principles (**GAAP**). Also included are all interfaces required between the central System and the **Toll Collection Systems** at various Toll Transportation Facilities, WSDOT financial systems, and other Software systems for any external Services (i.e., credit card Service provider, license plate look-up, financial institutions, etc.). The Vendor shall be responsible to provide, install, operate, and maintain telephone and internet systems to

service **Toll Customers** to support the Program and to meet the Requirements of the Contract.

The Vendor shall be responsible for providing physical Facilities to support the Requirements of the Contract including walk-in Customer Service storefronts, a Customer Service call center, and Facilities as required.

1.4 Tolling Commencement Milestone

To meet WSDOT's schedule for this Program, the Vendor shall provide the Systems and Services required by under the Scope of Work to achieve Tolling Commencement of SR 520 by no later than October 1, 2010. The Vendor shall develop a Program Schedule to meet this **Milestone**. Details on other Program Milestones are provided in Appendix 9 — Pricing and Delivery Tables.

1.5 Summary of Major Deliverables Required

The following table provides a summary of the major **Deliverables** that will be required of the Vendor during the period of performance. This summary is provided for convenience only and does not necessarily represent a complete or definitive listing of all Deliverables. In general, all document Deliverables require a draft, draft final, and final submission with time (minimum ten (10) **Business Days** depending on size and complexity of document) allocated for WSDOT review and Approval of each Deliverable. Refer to the individual sections in the Scope of Work for details on each Deliverables. The schedule for Deliverable submission will be determined by the Vendor's overall schedule with WSDOT's Approval. The Vendor should independently determine all Deliverables required during the Program's period of performance.

Scope of Work Section	Major Deliverables
4	Program Management Plan (with initial Program Schedule)
6	Quality Management Plan
7	Initiation of Revenue Operations Plan
7	CSC System Documentation
7	Updated Business Rules
7	CSC Requirements Trace Document
7	Initiation of Revenue Operations Plan
8	Test Plan
8	Factory Acceptance Test Procedures & Test Report
8	Integration & Commissioning Test Procedures & Test Report
8	Acceptance Test Procedures & Test Report
9	TNB Data Migration Plan

Scope of Work Section	Major Deliverables
9	Data Migration Test Plan & Test Procedures
15	Transponder Distribution Plan
29	Reconciliation Procedures
30	Internal Control Plan
33	Reports (Opening Ready)
34	Interface Control Documents
35	Training Plan
35	Training Materials
37	Security Management Plan
32	Standard Operating Procedures
38	Local Vendor Facilities Established
41	Business Continuity Plans

Table 2-1: Summary of Major Deliverables Required

1.6 Roles and Responsibilities

Figure 2 provides an overview of the general roles and responsibilities of the successful Vendor, WSDOT and third parties in the operation of the Statewide Customer Service Center. The remainder of this subsection provides an overview by entity of their overall roles and responsibilities.

Figure 2: Statewide Tolling Customer Service Operations Overview
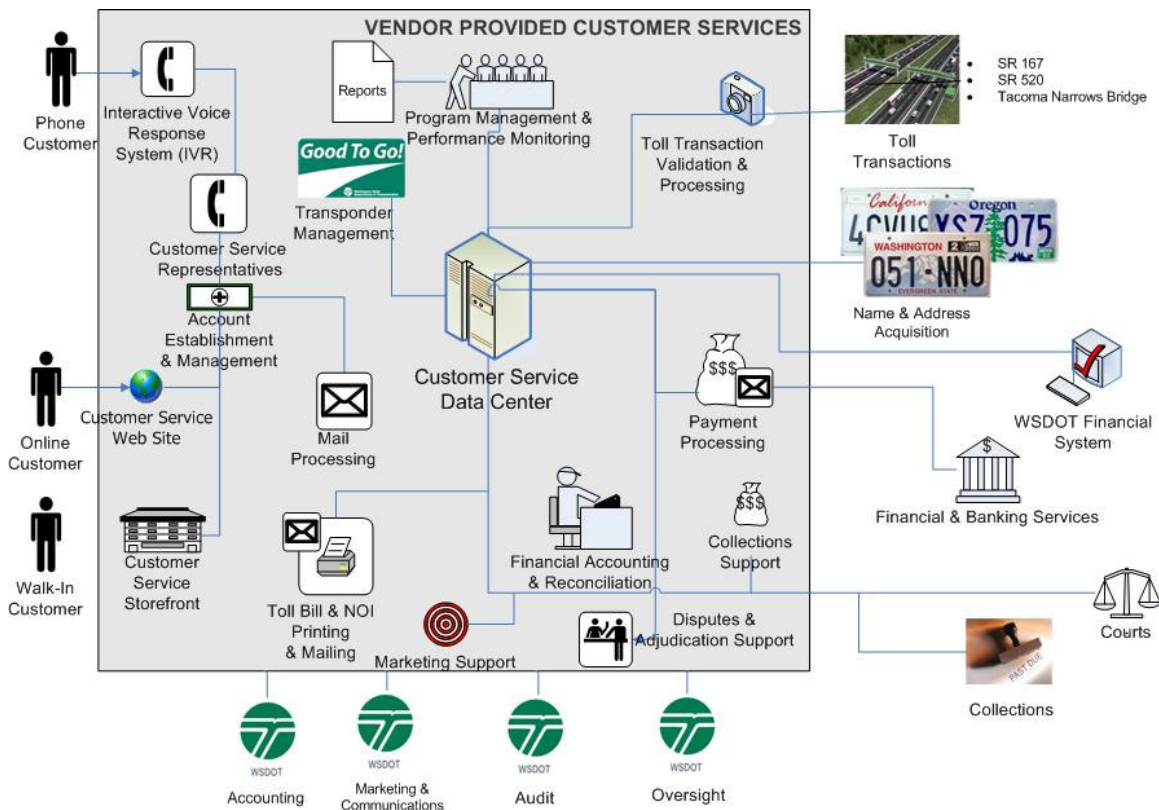
1.6.1 Vendor Provided Services

The selected Vendor's Contract shall include, but not be limited to, the following range of Services and supporting Systems and Facilities, for the operation of the Statewide CSC as further detailed in the remainder of the Scope of Work:

1.   Program Management and Performance Monitoring

  a) Day-to-day Program management, schedule adherence, **Quality Control**.

  b) Reporting on Contract **Performance Measures**.

  c) Coordination with WSDOT.

2.   Staffing

  a) Provide qualified and trained Staff.

  b) Provide **Key Program Staff**.

3.   Design, Development, Integration and Implementation

  a) Provided comprehensive CSC System.

  b) Complete system and communications network design, development and integration.

  c) Complete Facility design and establish Facilities.

4.   **Data** migration from Tacoma Narrows Bridge Customer Service Center

5.   System to system interface development

    a) WSDOT Toll Transportation Facilities.

    b) Systems for registered vehicle owner name and address acquisition.

    c) Financial institutions.

    d) WSDOT financial, accounting, and other systems.

    e) Washington Court systems.

6.   Testing

    a) Develop Test Plan.

    b) Develop test procedures.

    c) Conduct and report on test results.

7.   Account Establishment and Management

    a) Open Registered Transponder and License Plate Toll Accounts.

    b) Maintain Registered Transponder and License Plate Toll Accounts.

    c) Close Registered Transponder and License Plate Toll Accounts.

8.   Transponder Management

    a) Provide secure storage area for inventory.

    b) Track and report on inventory.

    c) Process payments for Transponders and related retail items.

    d) Calculate and collect destination based sales tax.

    e) Receive and fulfill Transponder orders.

    f) Mail Transponders to Customers.

    g) Process Transponder returns.

9.   Toll Transaction Validation and Processing

    a) Receive Transactions from the Toll Collection Systems at Toll Transportation Facilities.

    b) Apply Transaction to appropriate Account.

    c) Manually review Photo-Enforced Toll images captured at the lane that are below the **Optical Character Recognition** (**OCR**) threshold.

    d) Ensure that the license plate number is accurately recorded before billing a Customer or issuing a citation.

    e) Obtain names and addresses of registered vehicle owners from vehicle licensing departments in the United States.

10.   Photo-Enforced Toll Bill and **NOI** Printing and Mailing

    a) Printing, Quality Control, and mailing of all Photo-Enforced Toll Bills.

    b) The mailing address for Statewide Customer Service Center shall be in Washington.

    c) Photo-Enforced Toll Bill printing and mailing shall be done in Washington.

    d) Processing of returned mail.

    e) Coordinating with special collections efforts for resolution of unpaid Photo-Enforced Toll Bills.

11.   Complaints, Disputes and Adjudication Support

    a) Record, research and track Customer complaints and disputes.

    b) Transmit Notices of Infraction (NOI) to appropriate Court.

    c) Prepare evidence packets.

    d) Respond to inquiries from the Court.

12.   Customer Service Storefront Operation

    a) There will be at least three physical Customer Service storefronts, one on each side of Lake Washington, and in Gig Harbor to service the Tacoma Narrow Bridge Customer base.

    b) The Customer Service storefronts shall be physical buildings where Customers can go to receive Customer Service in person.

    c) The Customer Service storefronts shall provide the full range of Customer Services, including account establishment, Transponder distribution, account replenishment, account maintenance, inquiries for **Customer Toll Accounts** and Photo-Enforced Toll Bills, and payment acceptance.

13.   Interactive Voice Response System

    a) Provide pre-recorded Customer Service information, self Service options for Customers, Photo-Enforced Toll Bill information and payment acceptance, and general information.

    b) Route callers to live operators.

14.   Customer Service Website

    a) Design, develop and maintain website that provides 24 hours per Day, 7 **Days** per week online account establishments, self service options for Customers, Photo-Enforced Toll Bill review and payment, and general information.

15.   Mail Processing

    a) Retrieve, sort, record and process daily mail.

16.   Processing Payments

    a) Post and reconcile payments received from Toll Customers.

    b) Accept **Customer-initiated Payments** for Photo-Enforced Tolls.

17.   Financial Accounting and Reconciliation

    a) Performance of all financial accounting activities described in the Contract, including reconciliation, auditing, reporting and payment processing. All such activities shall be performed in Washington.

    b) The Vendor shall be responsible for all accounting reconciliation activities to ensure the integrity and accuracy of the accounting Transactions, to include reconciliation to WSDOT's financial and accounting system to comply with GAAP.

    c) Vendor shall be responsible for providing WSDOT with immediate access and/or copies (at WSDOT discretion) to all reconciliations.

    d) The Vendor shall be responsible for initiating corrective action necessary to promptly address identified reconciliation items requiring correction.

    e) Interfacing to financial institutions.

18.   Collections Support

    a) Respond to delinquent account inquiries from WSDOT-contracted collections agencies.

19.   Marketing and Public Relations Support

    a) Provide support for distribution of marketing materials.

    b) Provide support in response to media requests and preparation of press releases.

    c) Provide dedicated outreach **Person** to coordinate with WSDOT.

20.   Internal Controls and Auditing Support

21.   Ongoing **IT** Support

22.   Security Management

1.6.2 WSDOT Provided Services

WSDOT will provide resources in the following areas:

1.   Oversight

    a) Operational oversight of the Vendor to ensure Customer Service Performance Measures are being met.

    b) Oversight and monitoring of financial activities.

    c) Manage additional collection efforts.

    d) Provide Contract administration.

2.   Marketing and Public Relations

    a) Lead the development and execution of overall marketing plan, strategy and "message".

    b) Respond to media requests and preparation of press releases.

3.   Audit

   a) Regular audits of Vendor's Operational and financial performance.

4.   Accounting and Financial

   a) Monitoring of all financial and accounting activities.

   b) Provide oversight of reconciliation of adjustments, debits and credits to the WSDOT financial system and Toll Transportation Facility accounts.

   c) Approve accounting policy for all Toll related Transactions.

5.   WSDOT Toll Transportation Facilities

   a) Toll Collection Systems at the WSDOT Toll Transportation Facilities will send Photo-Enforced and Transponder Transactions to the CSC for processing. Lane Toll equipment is not part of the Contract.

1.6.3 Other Entities

The Vendor shall be required to interact and interface with several other entities including, but not limited to, the following:

1.   WSDOT Toll Transportation Facilities and Toll Collection System Suppliers

   a) SR 520 Open Road Tolling Lanes

   b) Tacoma Narrows Bridge Tolling Plaza

   c) SR 167 **High-Occupancy Toll (HOT) Lanes**

2.   Departments of Licensing and/or Motor Vehicle and Third-Party Sources

   a) Provides name and address lookup of registered vehicle owners based upon license plates, for purposes of collecting Photo-Enforced Tolls.

   b) Registers Washington State registration holds for non-payment of citations.

3.   Third-Party Collections and Payments

   a) Processes payments received from collection agencies.

4.   Financial and Banking Services

   a) State contracted financial services including, but not limited to, credit card processing and banking services.

5.   Courts

   a) Transmission of Notices of Infraction to the appropriate Court.

   b) Processes payments received as outcome of Court judgments.

The remainder of this document details the Requirements for the establishment and operation of a Statewide Customer Service Center.

*** End of Section ***

2 Legal and Regulatory Requirements

2.1 Introduction

Services provided by the Vendor under the Contract are required to comply with all applicable **Laws and Regulations** of the United States of America and the State of Washington.

2.2 Requirements

2.2.1 State of Washington

The following are some of the Revised Code of Washington (**RCW**) laws with which the Vendor's operation shall comply. This is not an exhaustive list. All Systems and Services provided by the Vendor shall comply with all applicable Washington State Laws and Regulations. The RCW is available online at: http://apps.leg.wa.gov/RCW/.

Financial

RCW 39.58.080: Deposit of public funds in public depositary required - Deposits in institutions located outside the **State**

RCW 39.58.750: Receipt, disbursement, or transfer of public funds by wire or other electronic communication means authorized

RCW 39.34.140: Transactions between State agencies – Procedures for payments through transfers upon accounts

RCW 43.01.050: Daily remittance of moneys to treasury — Undistributed receipts account — Use.

RCW 43.08.015: Cash Management Duties

RCW 43.41.180: Electronic funds and information transfer — State agency use.

RCW 43.88.037: Conform to Generally Accepted Accounting Principles

RCW 43.88.195: Establishment of accounts or funds outside treasury without permission of director of financial management prohibited.

Tolling

RCW 46.16.216: Payment of parking fines required for renewal.

RCW 46.61.690: Violations relating to toll facilities.

RCW 46.63.030: Notice of traffic infraction -- Issuance -- Abandoned vehicles.

RCW 46.63.073: Rental vehicles.

RCW 46.63.075: Toll evasion -- Presumption.

RCW 46.63.160: Electronic Toll Collection, Photo Enforcement

RCW 47.46.105: Tolls -- Collection.

RCW 47.56: State toll bridges, tunnels, and ferries

RCW 47.56.030: Powers and duties regarding toll facilities — Purchasing.

RCW 47.56.060: Toll bridges — General powers of **Department** and officials — Financial statements.

RCW 47.56.167: Toll collection account.

RCW 47.56.403: High-Occupancy Toll Lane **Pilot Project**.

Other

Title 49.60 RCW, Washington Law against Discrimination

Legislation

Engrossed Substitute House Bill 2211 (Chapter 472, Laws of 2009) authorizes Toll collection on SR 520 and prescribes penalties for nonpayment.

Washington State Constitution

Article VIII, § 5 – Credit not to be loaned

The credit of the State shall not, in any manner be given or loaned to, or in aid of, any individual, association, company or corporation.

2.2.2 Federal

The following are some of Federal Laws and Regulations with which the Vendor's operation shall comply. This is not an exhaustive list. All Systems and Services provided by the Vendor shall comply with all applicable Federal Laws and Regulations.

Title VI and VII of the Civil Rights Act

42 U.S.C. § 12101 et seq

Title 49 CFR 29 Suspension and Debarment

Title 49 CFR 18 Records Retention

Title 49 CFR. 21 Nondiscrimination in Federally-Assisted Programs

Americans with Disabilities Act

Non-Discrimination – FHWA-1273 Section II

Non-Segregated Facilities – FHWA-1273 Section III

Accident Prevention (OSHA Compliance) – FHWA-1273 Section VIII

False Statements – FHWA-1273 Section IX (for construction portions)

Implementation of Clean Air Act and Federal Water Pollution Control Act – FHWA-1273 Sec X

*** End of Section ***

3 Business Rules

The working Business Rules for the new Statewide Customer Service Center are provided in Appendix 3 – Business Rules.

During Implementation of the Program, WSDOT will work with the Vendor to verify and finalize the Business Rules.

The Vendor shall submit an updated version of the Business Rules for review and comment by WSDOT. WSDOT will require a minimum of ten (10) Business Days to review update version of the Business Rules. WSDOT will provide the Vendor with a consolidated set of comments on the Deliverable. The Vendor shall respond in writing to all WSDOT comments. A comment resolution meeting may be conducted to clarify and resolve any remaining questions and issues concerning the comments provided by WSDOT to the Vendor.

Based on WSDOT comments and the results of the comment resolution meeting, the Vendor shall prepare a final version of the Business Rules for WSDOT Approval.

The Approved Business Rules shall be incorporated into the CSC System and Services to be provided under the Contract.

*** End of Section ***

4 Program Management

4.1 Introduction

The Vendor is responsible for providing the overall Program management to ensure the timely and satisfactory delivery of the Statewide CSC.

The startup Deliverables for the Statewide CSC shall include the following Program management documents:

1. Program Management Plan (Section 4)

2. Program Schedule (Section 4)

3. Quality Management Plan (see Section 6)

4.2 Requirements

4.2.1 Program Management Plan

The Vendor shall prepare and submit to WSDOT for Approval a Program Management Plan (**PMP**), which shall describe the Vendor's Program team organization and reporting relationships, Key Program Staff and team member contact information, the Vendor's Program delivery approach, Program risks and Vendor's plan for managing those risks, as well as the Vendor's procedures for implementing, managing and controlling the overall Program.

The Program Management Plan shall address at a minimum:

- Program description
- Program objectives
- Criteria for success
- Assumptions and constraints
- Roles and responsibilities
- WSDOT approvals
- Work plan
- Schedule management
- Scope/change management
- Cost/budget management
- Human relations management
- Program communications management
- Risk and issue management
- Procurement management

Specific Requirements to be included in the Program Management Plan are provided below.

4.2.1.1   Vendor Organization

The Vendor shall provide and maintain an overall organizational chart of the Key Program Staff contributing to the management of the Statewide CSC. This should include the Person responsible or leading the various subcomponents of the Program.

The organizational chart shall include the name of the Person, role within the Program, title of the Person within their company, years of experience and description of **Tasks** undertaken within the Program. The Vendor shall also identify if the Staff Person will be a primary contact to WSDOT or any third-party entity for the designated Task(s).

4.2.1.2   Key Program Staff Directory

Vendor shall submit and maintain a Key Program Staff directory that includes the following information:

1.   Name

2.   Title (with respect to the Program)

3.   Office address

4.   E-mail address

5.   Office telephone number(s)

6.   Fax number

7.   Cellular phone number

The Key Program Staff directory shall be updated as needed throughout the course of the Program.

4.2.1.3   Program Delivery Approach

The Vendor shall describe the Program Implementation scheme, Requirements and schedule, including the approach to securing personnel, Facility, Hardware and Software.

4.2.1.4   Risks Assessment

The Vendor shall identify and describe potential Program risks and outstanding issues and their associated impact on Program delivery, including financial and schedule impacts throughout the duration of the Contract. The Vendor shall identify a mitigation approach for each risk or issue.

As the Program progresses, additional risk assessment reports shall be developed by the Vendor and submitted to WSDOT for review and Approval on a weekly basis, as part of the Program progress meetings.

4.2.2 Schedule

The Vendor shall develop, submit to WSDOT for Approval, and maintain a cost and resource-loaded, **Critical Path** method Program Schedule utilizing Microsoft Project.

The Program Schedule shall focus on the Implementation of the new Statewide CSC from **Notice to Proceed** through the first six months after Tolling Commencement.

The Program Schedule is defined as the initial schedule submitted with the Vendor response, the Approved baseline schedule, and the most recently Approved revised resource-loaded schedule, which has been updated by the most recently Approved monthly schedule update, as applicable. The Program Schedule shall be used by the Vendor and WSDOT for planning and monitoring the progress of the Program.

The Program Schedule shall divide the Program into activities with appropriate logic ties to show the Vendor's overall approach to the planning, scheduling, and execution of the Program. All activities shall be represented by cost resource-loaded Program activities. The duration and logical relationships of the Program activities (or summaries at **Phase** level) shall be based on the actual duration and relationships anticipated.

The Program Schedule, which shall clearly identify when all of the startup Deliverables as detailed in the Vendor's **Price Proposal**, shall be submitted to WSDOT.

The Program Schedule shall clearly identify when Deliverables shall be provided to WSDOT for review, the duration of the WSDOT review, comment review meetings, and when the final version of the plans or Deliverables will be provided to WSDOT for Approval. WSDOT will require a minimum of ten (10) Business Days for the review of Deliverables and plans.

No unspecified Milestones, constraints, program float suppression techniques, or use of program activity durations, logic ties, and/or sequences deemed unreasonable by WSDOT, shall be used in the program Schedule. Each program Schedule submittal shall clearly and individually define the progression of the Program within the applicable time frame by using separate Program activities, including but not limited to:

1.   All Program components, including management, administration, and **Quality Assurance** activities.

2.   Program Milestones.

3.   Interfaces with external entities pursuing or undertaking **Work**, such as with the TNB Toll Collection System supplier and SR 520 Toll Collection System supplier.

The Vendor shall use standard and consistent Program activity identification numbers, textual descriptions, and codes in all Program Schedule submittals in a manner acceptable to WSDOT. Each Program Schedule submittal shall be clearly identified.

All Work shall be undertaken and completed in accordance with the most recent Program Schedule as Approved by WSDOT.

4.2.2.1   *Initial Schedule*

The initial Program Schedule shall be submitted with the Program Management Plan and shall show, in detail, the Vendor's Work activities for the first ninety (90) **Calendar Days** after NTP, and all remaining Phases of the Program shall be represented by Phase level summary activities such that they cumulatively indicate all activities required by the

Program. The Program Schedule shall be updated every thirty (30) Calendar Days thereafter.

4.2.2.2   *Schedule Updates*

As it becomes necessary to modify the Program Schedule to reflect changes to the Work sequences or to further subdivide and resource-load the necessary labor, equipment, and materials, the Vendor shall request changes to the Program Schedule and submit such requested changes in writing to WSDOT for Approval according to Section 4.5 of the Contract.

4.2.3 Kickoff Meeting

The Vendor shall facilitate a kickoff meeting with WSDOT as soon as practical after NTP.

The kickoff meeting agenda shall include a review of the Program budget, Schedule, and scope, and identification of any documents or materials that the Vendor needs from WSDOT.

The kickoff meeting shall be held in Seattle at WSDOT's offices or another location of WSDOT's choosing.

The Vendor shall provide meeting minutes of the kickoff meeting within five (5) Business Days for review and Approval by WSDOT.

4.2.4 Workshops and Working Sessions

The Vendor shall conduct formal workshops and informal working sessions, as needed, with WSDOT and other parties to gather information, resolve issues, clarify Business Rules, obtain required input for configuring the System and design interfaces or any other System modifications required for the Implementation and operation of the Statewide CSC. An overview of the anticipated workshops and working session will be discussed at the kickoff meeting.

The Vendor shall provide agendas and supporting material for each workshop and working session. The Vendor shall provide supporting material in advance for all formal workshops and as required for working sessions. WSDOT will work with the Vendor to identify and schedule required participants in the meetings.

At the discretion of the Vendor, the Vendor may opt to organize several separate workshops and working sessions to be conducted in parallel, such as separate sessions for Software, Hardware, communications, etc.

4.2.5 Weekly Status Meetings

The Vendor shall meet, in person, with WSDOT or its designee weekly during periods when Program is underway. These meetings will be held to discuss Program progress, issues, and planned activity for all Phases of Program. The Vendor and WSDOT will jointly develop the agenda for these meetings and the Vendor shall be responsible for providing meeting Facilities unless directed otherwise by WSDOT.

In addition to the weekly meetings, the Vendor shall meet with WSDOT or its designee as needed to discuss Program-related issues.

4.2.6 Agendas and Meeting Minutes

The Vendor shall keep minutes of all Program-related meetings and distribute copies of the draft minutes to WSDOT participants within five (5) Business Days after the meeting date, and final meeting minutes five (5) Business Days after WSDOT has submitted draft meeting minute comments.

The Vendor shall be responsible for the distribution of final WSDOT-approved meeting minutes to appropriate parties.

At a minimum, all meeting minutes shall contain a complete list of attendees (including their affiliations and telephone numbers), descriptions of issues discussed, any decisions made, direction given, remaining open issues and action items (including identification of the **Party** responsible for follow up and the target date for resolution).

Internal meetings between the Vendor's team members are excluded from this Requirement.

4.2.7 Monthly Progress Reports

Commencing in the first full month after issuance of NTP, the Vendor shall submit a monthly progress report for WSDOT's review. The monthly progress report shall include the Vendor's detailed schedule for executing the Program and all information and reporting required for the Program Schedule, and shall include only resources actually available to the Vendor.

The monthly progress reports shall minimally include the following current Program information:

1. Progress for the current period for all Program activities.

2. Identification of issues, resolution strategy, deadline, and responsible Party.

3. Actual start and actual finish dates of activities, percentage complete, and Business Days remaining for activities in progress.

4. Submittals scheduled to be submitted for the forthcoming period.

5. Sixty-**Day** (60) look-ahead report on all WSDOT approvals required.

6. Ninety-Day (90) look ahead bar chart schedule sorted by activity start dates.

7. Critical items graphical report for each Critical Path sorted by activity start date.

The monthly progress reports shall reflect updated progress to the status date, forecast finish dates for Program activities in progress, and forecast dates for remaining Program activities. It shall otherwise contain no changes in Program activity durations, logic ties, or restraints without Approval from WSDOT. It shall also incorporate and fully specify all appropriate information from prior Approved Program Schedules.

An electronic copy of the Program Schedule file used for the monthly schedule update shall be submitted to WSDOT with the monthly progress reports.

WSDOT will review the monthly schedule updates for consistency with Vendor's current Approved Program Schedule and for conformance with the Scope of Work. The Vendor shall correct any deficiencies and resubmit its monthly progress reports. WSDOT will withhold payments from the Vendor until the monthly progress report changes have been made to the satisfaction of WSDOT.

WSDOT will use these updates to manage its activities, to be responsive to the Vendor's Program Schedule, and to measure the Vendor's performance with respect to its plan for accomplishing the required Program activities.

The monthly progress reports shall conclude at the end of the startup period unless otherwise required by WSDOT.

4.2.8 Deliverables

WSDOT will review and Approve Deliverables required under the Contract.

The Vendor shall submit draft Deliverables for comment by WSDOT. WSDOT will require a minimum of ten (10) Business Days to review any Deliverable. WSDOT will provide the Vendor with a consolidated set of comments on the Deliverable. The Vendor shall respond in writing to all WSDOT comments. A comment resolution meeting may be conducted to clarify and resolve any remaining questions and issues concerning the comments provided by WSDOT to the Vendor.

Based on WSDOT comments and the results of the comment resolution meeting, the Vendor shall prepare a final version of the Deliverable for WSDOT Approval.

*** End of Section ***

5 Vendor Personnel Requirements

5.1 Introduction

The Vendor shall provide qualified Staff to perform the following key areas of Operations:

1. Operations

2. Finance and accounting

3. Customer Service

4. System administration

5. System maintenance

5.2 Requirements

5.2.1 General

The Vendor shall ensure that all personnel assigned to the Customer Service Center Operations, System, and **Maintenance** activities shall have sufficient skills and expertise to properly perform the Work assigned to them.

Assignment and replacement of Staff shall be based on the suitability of their qualifications, knowledge, and experience for their proposed positions.

When assigned Staff members are no longer available, they shall be replaced as expeditiously as possible.

The Vendor shall define performance objectives for each position from Key Program Staff through to general Customer Service Representative (**CSR**) positions.

The Vendor shall monitor and report on Staff performance against these objectives and develop and implement a corrective action for dealing with unsatisfactory performance.

Vendor personnel that directly interact with the public shall be uniformly attired and shall present a neat and clean appearance at all times.

All Vendor Staff shall be bonded for theft, fraud and abuse.

5.2.2 Key Program Staff

As a minimum, the following personnel shall be dedicated, full time, on-site Staff provided by the Vendor and dedicated exclusively to this role. The assigned Staff shall meet the following minimum Requirements:

1. **Vendor Program Manager**: The Vendor's **Program Manager** shall be responsible for the on-site management of the statewide Customer Service Center delivery and ongoing Operations. The Program Manager shall be the primary point of contact for WSDOT. The Program Manager shall have a Bachelor's degree and a minimum of ten (10) years' project management experience, with at least five (5) years of experience in Customer Service and five (5) years of experience in the toll industry with a demonstrable record of project delivery and

CSC Operations startup. A master of business administration (**MBA**), certified project management professional (PMP) and previous experience implementing systems for a government agency or Implementation work involving integrating with systems of multiple government agencies is highly desirable. This position shall be located in Washington.

2. **IT Manager**: The IT Manager shall be responsible for implementing and maintaining the IT **Infrastructure** and applications for the CSC System. The IT Operations Manager shall have a Bachelor's degree in computer science, business management or a related field and a minimum of ten (10) years experience in the management of information technology operations. This experience shall include developmental, operational and maintenance experience with complex Customer Service, financial and other enterprise applications and supporting Infrastructure including servers, interactive phone systems, local area networks and wide-area networks. The IT Manager shall also have at least five (5) years' experience in a leadership or management role in a mission-critical, high volume Transaction processing environment. The IT Manager shall also have at least two (2) years' prior experience implementing and/or managing the ongoing support of the Vendor's CSC **Product** solutions. The IT Manager shall have advanced training in network Infrastructure to include knowledge of TCP/IP, routing technology, network device management, and wide-area networking technologies. Experience in managing and/or maintaining network security standards, coordinating with multiple governmental agencies, interfacing to third-party systems, and auditing is desirable.

3. **Financial and Accounting Manager**: The Financial and Accounting Manager shall be responsible for ensuring compliance with all financial accounting and reconciliation Requirements. The Vendor's proposed Accounting Manager must have a B.S. or B.A in Accounting, be a licensed Certified Public Accountant and maintain their CPA license for the duration of the Contract.   The proposed Accounting Manager shall have a minimum of seven (7) years of financial and accounting experience. This should include five years of experience with the preparation of financial statements according to Generally Accepted Accounting Principles (GAAP) and at least three years experience in a management or leadership position overseeing accounting operations including the preparation of financial statements in a high volume Transaction processing environment. Desirable experience includes a CMA and/or MBA and prior experience performing accounting for a governmental organization or public accounting experience performing audit or other accounting services for a governmental agency. This position shall be located in Washington.

4. **Customer Service Manager**: The Customer Service Manager shall be responsible for managing customer service Operations and ensuring an overall positive experience for Toll Customers. The Customer Service Manager shall have at least six (6) years of experience in customer service and three (3) years of experience in high volume transaction operations and/or the toll industry. The Customer Service Manager shall work directly with WSDOT for Customer outreach and marketing activities. The Customer Service Manager shall have past

experience in this position leading at least one new CSC start-up. This position shall be located in Washington.

5.   **QA/QC Manager**: The QA/QC Manager shall be responsible for ensuring the overall quality of the delivered system and Services, including all documentation and Deliverables. The QA/QC Manager shall also be responsible for monitoring the Vendor's attainment of the contractual Performance Measures. The QA/QC Manager shall report to the Program Manager and shall have at least ten (10) years of experience in project delivery and Quality Control. Specialized training or certification in quality management is desirable

Vendor shall be required to notify WSDOT at least thirty (30) Business Days in advance of replacing any Key Program Staff and shall submit the names and qualifications of the proposed replacement(s) to WSDOT for written Approval. At its sole discretion, WSDOT shall be allowed to interview replacement candidates and shall retain the right to reject any proposed replacement.

*** End of Section ***

6   Quality Management

6.1 Introduction

The Vendor shall effectively manage its operation to provide quality Services to WSDOT and its Toll Customers.

6.2 Requirements

6.2.1 Quality Management Plan

The Vendor shall prepare, submit to WSDOT for Approval, and adhere to a Quality Management Plan that details the scope, Requirements, Performance Measures, criteria, processes, and procedures necessary to deliver and maintain a quality Program satisfying all Requirements of the Scope of Work.

The Vendor shall maintain its own internal quality management Staff, so that such individuals have the authority to effect changes in design, construction, and/or Maintenance procedures, as the case may be, in the event of any failure to comply with the stated Requirements of the Scope of Work.

The Vendor may use subcontracted Services for the quality management role. The quality management of the Program shall ensure that the Program is completed in accordance with the Requirements of the Scope of Work, and it shall confirm that the Vendor is achieving the obligations and commitments stated in its response.

6.2.2 Document Delivery and Control

The Vendor shall keep track of all documentation submitted to WSDOT or representatives including the document identification, name and description of the document, version number, release date, distribution list, Approval date, and document's electronic file name. The Vendor shall record any revisions made to the original documents and retain copies of said documents with additional written comments as original records.

The Vendor shall use a standard file naming convention to keep track of all electronic files.

The Vendor shall be responsible for ensuring that the documents are distributed electronically and can be accessible through an electronic document storage Facility. This shall include all reports required under the Reporting Requirements. All information (documents and communications) related to the Program shall be kept on a secure, dedicated FTP site held by the Vendor. The Vendor shall be responsible for administering the FTP site and providing access to parties Approved by WSDOT.

6.2.3 Record Keeping

The Vendor shall maintain complete business records of all Customer Toll Accounts and Transactions, retaining such records in accordance with WSDOT and State of Washington General Records Retention Schedules.

Archived reports shall be retained in an electronic format for the duration of the Contract and provided to WSDOT at the termination of the Contract.

Archived documents shall be accessible at all times for printing.

A hard copy of reports shall be retained for a period of at least one year.

All Customer communications, including scanned documents, shall be electronically stored in the archival System.

All email communications shall be stored in the document archive.

The Vendor shall provide an electronic means for WSDOT to request any archived documents.

6.2.4 Document Availability

The Vendor shall maintain at the CSC Facility for the duration of the Contract, at a minimum, one (1) complete set of all documentation and Deliverables including, but not limited to:

1.   The Contract as awarded for the Program

2.   Program Deliverables as listed in Table 2-1

3.   Three years of invoices and Performance Measure reporting

4.   Minutes of meetings with WSDOT

5.   Government approvals

6.   **Change Orders** and claims

7.   Insurance policies, correspondence, and terms

8.   Business and operating licenses

9.   Facility lease

10.   Communications Service Agreements

11.   **Software System Documentation**

12.   **Interface Control Documents**

13.   **Standard Operating Procedures**

6.2.5 Access to Facilities

At all times, WSDOT authorized personnel shall have unrestricted access to CSC Facilities and Data, including records, accounts, logs, reports, and documentation maintained by the Vendor.

*** End of Section ***

7 Integration and Implementation

7.1 Introduction

WSDOT desires a collaborative approach to the integration and Implementation of all components of the comprehensive CSC solution required under the Scope of Work. The focus of the System integration effort will be, but not limited to:

1.   Ensure that the Business Rules and Requirements of the Scope of Work are completely attained by the CSC System implemented by the Vendor under the Contract.

2.   Configure the Vendor's existing CSC System to meet the Requirements of the Business Rules and the Scope of Work.

3.   Build modifications to the Vendor's existing CSC System to meet Requirements that are not attained by the Vendor's existing CSC System.

4.   Develop interfaces to other systems.

5.   Migrate the Customer Toll Accounts and supporting Data from the TNB CSC.

6.   Integrate the CSC System components and interfaces into a seamless whole.

The Systems and Services Implementation effort will focus on establishing the comprehensive CSC solution to best implement the Business Rules and Requirements for Service delivery as supported by the CSC System.

The Vendor shall fully participate in this collaborative process by providing the creativity, industry knowledge, and professionalism needed to integrate and implement the CSC. The Vendor shall recognize WSDOT's rights to, and the importance of, the implemented CSC and strive to foster a collaborative, cooperative process whereby WSDOT's comments, concerns, and input are acknowledged and responded to in a mutually agreeable and respectful manner.

7.2 Requirements

7.2.1 General

The Vendor shall execute all activities required to deliver the Products, Services, and Systems specified in the Scope of Work. Any activities required to meet the functional Requirements of the Scope of Work are within the scope of the overall Contract.

The Vendor shall cooperate with the other WSDOT partners, suppliers, and contractors involved with the WSDOT **Statewide Tolling Program** in development, design, installation, testing and warranty Services into a fully integrated and seamless System from roadside to CSC System to the Customers and interfaces to other systems.

7.2.2 Requirements and Business Rules Verification

The Vendor shall conduct a series of interactive workshops with WSDOT to confirm the Requirements of the Business Rules and the Scope of Work. During these workshops, the

Vendor shall seek clarification and finite definition of the Program Requirements to achieve a mutual understanding between the Vendor and WSDOT.

The Vendor shall demonstrate how their existing CSC solution meets the Program Requirements and what areas of the CSC solution will require configuration, **Enhancement**, and/or development.

The Vendor and WSDOT will develop working groups to address each of the various areas that require configuration, clarification, and development. It is anticipated that working groups will be required for Business Rule configuration, TNB Data migration, network communications, system to system interfaces, financial and accounting Requirements, Work flow process, and reporting.

As a result of the workshops, the Vendor shall prepare an updated version of the Business Rules for review and Approval by WSDOT.

7.2.3 CSC Requirements Trace Document

After the completion of the Requirements verification workshops, the Vendor shall submit a CSC Requirements Trace Document for review and Approval by WSDOT within ninety (90) Calendar Days of Notice to Proceed.

The CSC Requirements Trace Document shall capture all of the Requirements for the CSC System and related Services. The Vendor shall trace all functional Requirements to specific aspects of the System and Services provided by the Vendor to demonstrate that all Requirements have been satisfied. The CSC Requirements Trace Document shall include an identification of the source of the Requirement.

During Implementation of the CSC, this document shall be updated to reflect any changes to the Requirements that have been accepted by WSDOT.

The CSC Requirements Trace Document shall also be used during testing to verify compliance to Contract Requirements.

7.2.4 Configuration Workshops

The Vendor shall organize concurrent configuration workshops to finalize the actualization of the Business Rules, Work flow processes, and other user configurable parameters. As appropriate, use cases or other techniques shall be used to demonstrate how the CSC System will meet the Requirements of the Program.

7.2.5 Software Enhancement Design

As identified in the Requirements verification workshop, the Vendor shall design any Enhancements or new Software development needed to meet the Requirements of the Scope of Work. As appropriate, use cases or other techniques shall be used to demonstrate how the CSC System will meet the Requirements of the Program. It is anticipated that design efforts will be necessary for new features and functions required to meet the Program Requirements, TNB Data migration, systems to system interfaces, and reporting.

The Vendor shall organize and coordinate concurrent design working sessions with WSDOT, WSDOT partners, suppliers, and contractors, as needed, to develop Software modifications to meet the Requirements of the Contract.

The Vendor shall prepare and submit to WSDOT for review and comment preliminary **Design Documents** for the individual development efforts. The Vendor shall conduct a preliminary design review. This first review shall be performed after the Vendor has made changes to the System design to accommodate the Requirements of WSDOT.

Based on the results of the preliminary design review, the Vendor shall update the Design Documents and conduct a **Detailed Design Review**. The Vendor shall then update the Design Documents based on the results of the second review. The Design Document shall be submitted to WSDOT for Approval

7.2.6 System Network Design

The Vendor shall review and catalog the necessary System communication links, components and applied technologies, and assess the capability and adequacy of the proposed network based on current and future loads. This shall be done for both volumes of daily Data (such as Toll Data) and real-time data Requirements. This design shall consider potential for System expansion and life-cycle analysis of major elements.

The Vendor shall submit the System network design to WSDOT. WSDOT will review and Approve the components of the network that connect to any WSDOT Facilities.

7.2.7 Systems Integration Plan

The Vendor shall provide a high-level overview of all System Software, Hardware, and telecommunications components necessary to support the CSC operation. Layouts shall illustrate the integration of all components into a fully-functional integrated CSC System. The System integration plan shall provide the detailed sequence and activities required to install, integrate and commission the CSC System.

The Vendor shall submit the Systems Integration Plan to WSDOT for review and Approval.

7.2.8 System to System Interface Requirements

The Vendor shall develop all required interfaces between the CSC System and external systems. The Section 34 - System to System Interfaces of the Scope of Work details the specific Requirements.

7.2.9 Test Plan

The Vendor shall develop a Test Plan to demonstrate that CSC Systems and Services provided by the Vendor have achieved the Requirements of the Contract. The Section 8 - Testing of the Scope of Work provides details on overall testing Requirements.

7.2.10   Software System Documentation

Based on the results of the verification and Enhancement development efforts, the Vendor shall develop the following Software System Documentation:

1.   **System Design Document (SDD)**: The Vendor shall update the overall design of the CSC System provided with their Technical Response based on the Requirements verification workshop and System Requirements Document. The general design shall depict the physical and functional characteristics of the System showing both internal and external processes. Data flow diagrams, process flow diagrams and decision flows shall be clearly defined identifying the relevant System components. The general design shall identify the fundamentals of System Operations, including the database management system (**DBMS**), Transaction processing, Customer relationship management, Photo-Enforced Toll processing, reporting, financial accounting and interfaces to other systems. The general design shall identify website, Hardware, equipment, and communication Requirements. Specific Requirements are provided under the Automated System Functionality Requirements. The System general design shall demonstrate how the CSC System addresses all of the Scope of Work Requirements and support all of the Service Requirements of the Contract.

The System Design Document shall be submitted to WSDOT for review and Approval.

2.   **Database Design**: Because all Data collected, created, stored, and disseminated by the CSC operation shall remain WSDOT property, the physical database structure documentation shall be provided for all databases, tables, archives, and other storage mechanisms containing that Data. This documentation shall include all Data and metadata-related tables, key structures, and index information. Detailed information shall also be provided with regard to the security and accessibility of that Data. The Vendor shall provide Transaction mapping for each Transaction type from cradle to grave – from the initiation of the Transaction through the subsidiary accounting System and through final posting to the WSDOT general ledger accounting system. The Vendor shall submit the database design to WSDOT for its records.

3.   The Vendor shall ensure that the design and Implementation of the **Project** conforms to the Systems Engineering Process, as described in WSDOT Design Manual Supplement, Engineering for Intelligent Transportation Systems (Appendix D27). The Vendor shall document conformance of its design and Implementation efforts with the Systems Engineering Process. The Vendor shall also separately assist WSDOT in documenting the overall Systems Engineering Process to FHWA.

7.2.11   System Installation and Integration

The integration of the CSC System shall include all servers, storage devices, network components, and other data processing units required to meet the Requirements of the Contract.

The Vendor is responsible for the integration of all items associated with the System identified in the Contract, including but not limited to:

1.   System servers, communications equipment, and other peripheral equipment needed to support the System.

2.   Testing of all communication lines from the CSC to the Toll Collection System and other systems, including the Customer Service storefronts and external interfaces.

3.   Testing of the equipment for proper connectivity and successful communications linkage.

4.   Providing and installing all other items, materials, and equipment to complete the integration of the System to meet Requirements of the Contract.

7.2.12   Initiation of Revenue Operations Plan

The Vendor shall prepare an Initiation of Revenue Operations Plan that provides a Task-oriented description of the Work required to transition from testing to **CSC Operations Commencement** and Tolling Commencement. The document shall detail the steps that shall be successfully completed by the Vendor and all WSDOT approvals that shall be required prior to CSC Operations Commencement and Tolling Commencement.

*** End of Section ***

8 Testing

8.1 Introduction

The Vendor shall develop the Test Plan procedures and complete tests to demonstrate that all equipment, materials, Systems, Services and Facilities furnished, installed and established under the Contract function in the manner intended and in full compliance with the Requirements of the Contract, industry standards, and statutory regulations. The testing process shall also demonstrate how the Vendor shall supply the Services required under the Contract especially the incorporation of the Business Rules, Work flow processing rules, security, financial accounting, and interfaces to other systems.

The testing process will consist of several phases:

1. Test Planning and Preparation

2. **Factory Acceptance Testing**

3. Integration and Commissioning Testing

4. Rectification Period

5. **Deficiencies Liability Period**

6. **Acceptance Testing**

7. Rectification Period

8.2 Requirements

8.2.1 General

The testing phases are defined below in the order of required execution.

1. **Test Plan**: Identification of the modules, schedules and the equipment and Facilities required for testing. The Test Plan shall be a road map for accomplishing the test phases and Milestones. All the test phases shall be incorporated into the overall Program Schedule. The Test Plan shall also identify the reports to be furnished at the end of each test, the rectification process for issues and anomalies and the timelines for the rectification. The Test Plan shall include proposed test acceptance criteria for Approval by WSDOT.

2. **Factory Acceptance Testing**: Test to demonstrate the CSC System in a Vendor-supplied off-site or laboratory Facility in advance of any commissioning. The Test Report shall document the process to resolve any outstanding issues.

3. **Integration and Commissioning Testing**: Test to demonstrate that the entire CSC System and supporting Services and Facilities are ready for CSC Operations Commencement. The test shall demonstrate the integration of various **Subsystems** including Hardware and Software. This test shall include all Vendor proprietary Hardware and Software and any Hardware and Software acquired from third-party entities. The testing shall demonstrate all aspects of the System and Services from receipt of Transactions through reconciliation. The Test Report

shall be furnished at the end this stage to summarize the process to resolve any outstanding issues.

4. **Rectification Period**: WSDOT may provide a pre-agreed period for the Vendor to rectify any issues or problems encountered during the Integration and Commissioning Testing before CSC Operations Commencement. Before CSC Operations Commencement., the Vendor shall be required to demonstrate any rectified Software, Subsystems or Services.

5. **Deficiencies Liability Period (DLP)**: After completion of the Integration and Commissioning Test and before CSC Operations Commencement., WSDOT may agree to allow the Vendor to address selected outstanding issues or deficiencies that are not critical to day-to-day CSC Operations to be addressed during the **Deficiencies Liability Period**. Such issues could be rectified during the Deficiencies Liability Period, as long as it has no impact on day-to-day CSC Operations. The identification of these issues shall be at the sole discretion of WSDOT.

6. **Acceptance Testing**: Test to demonstrate that the Operational CSC System and Services is meeting performance Requirements after Tolling Commencement. The Test Report shall be furnished at the end this stage to summarize the process to resolve any outstanding issues.

7. **Rectification Period**: WSDOT may provide a pre-agreed period to rectify any issues or problems encountered during the Acceptance Testing Phase. This includes any issues relating to Systems, Services Staff or Facilities. After the rectification period, the Vendor shall be required to demonstrate any rectification.

During the development or compilation of the CSC System and related Software, the Vendor may conduct tests or demonstrations to meet their Quality Management Plan. As appropriate, the Vendor may request the presence of WSDOT for such test or demonstrations. These tests or demonstrations shall not relieve the Vendor from any formal testing obligations to prove conformance to the Program Requirements.

The Vendor shall prepare test data as part of the testing process. The test data shall be sufficient to support the full range of Approved test procedures and fully demonstrate the compliance with the Requirements. The test data shall encompass various data sets to support the range of test cases, included valid, invalid/illegal, boundary conditions, and performance/load stress testing.

The Vendor shall provide all equipment, tools/ instruments, Facilities, vehicles, and labor necessary for testing.

As described above, any activity required for rectification and subsequent tests or demonstrations and the related costs shall be borne by the Vendor.

8.2.2 Test Plan

The Vendor shall prepare a Test Plan for **System Testing** to demonstrate and verify that the installed System and associated Services meets all the Requirements under the Contract. The scope of the Test Plan shall include Factory Acceptance Testing, Integration and Commissioning Testing, and Acceptance Testing. The Test Plan shall

clearly state the objectives, test scenarios, and success criteria of each level of testing. A separate Test Plan shall be prepared for the migration of **Customer Data** from the existing TNB Customer Service Center (See Section 9 of the Scope of Work for details.)

The Test Plan shall clearly define the Requirements for success for each step in the testing process.

The Test Plan shall also address the overall schedule of testing, sequencing and interdependency of test, test simulators, sources and generation of test data, reporting procedures, and the process for failure tracking, analysis, and resolution.

The Vendor shall submit the Test Plan for review and Approval by WSDOT.

8.2.3 Test Procedures

Upon written Approval from WSDOT, the Test Plan shall be used by the Vendor to compile the detailed test procedures of each required test. These detailed test procedures shall subsequently be submitted to WSDOT for review and Approval. A separate set of test procedures shall be prepared for the migration of Customer Data from the existing TNB Customer Service Center (See Section 9 of the Scope of Work for details.)

The Vendor shall not begin any test activities prior to receiving Approval of the Test Plan from WSDOT.

The test procedures shall include use cases to demonstrate how the System and Services meet the Requirements of the Contract. Uses cases will include, but are not limited to, the incorporation of the Business Rules, Work flow processing rules, financial reporting, reconciliation, system to system interfaces, Data migration, failure modes, and others as required.

The following elements shall be included in the test procedures but are not limited to:

1. Test number

2. Description of Requirement

3. Resources and equipment needed

4. Prerequisites for each test

5. Initial status and conditions

6. Triggering action

7. Expected process

8. Expected result (end state)

The Vendor shall prepare test procedures that outline the steps for each function or group of functions and ability to record the outcome of each step, the entry and exit criteria, the required test equipment, instruments, Facilities and labor necessary, and the expected results.

The Vendor shall prepare the criteria for entry and exit for each test and shall take into account that any deficiencies identified during the tests shall not trigger any loss in

revenue or information to WSDOT or related partners and shall not result in the need for extra Work or extra cost to WSDOT.

The Vendor shall submit all test procedures to WSDOT for review and Approval, at least four weeks in advance of the scheduled start date of the test. Any revised test procedures shall be Approved by WSDOT one week in advance of the commencement of a test.

The Vendor shall provide all tests in editable electronic form.

The Vendor shall provide at least three weeks of notification before the commencement of any test. The Vendor shall conduct all formal tests in the presence of WSDOT or their representative.

8.2.4 Test Reports

The Vendor shall prepare Test Reports for the Factory Acceptance Test, Integration and Commissioning Test(s), and Acceptance Test(s) within fifteen (15) Calendar Days of completing the corresponding test. A separate test reports shall be prepared for the migration of Customer Data from the existing TNB Customer Service Center (See Section 9 of the Scope of Work for details.)

The Test Reports shall contain the results of the test procedures performed and shall provide an analysis of failures and of problems observed, along with an approach to correct failures and problems. The Test Reports shall include the current **Deficiency Log**.

WSDOT will respond to the Test Reports with an assessment of the pass/fail aspects of the tests, and an overall determination of whether each test was a pass or fail. If WSDOT determines that any of the tests were not successful, WSDOT will provide a list of Requirements that the Vendor shall meet prior to receiving Approval of the Test Reports and proceeding to the next step in testing.

8.2.5 Deficiencies

A **Deficiency** is defined as a failure in the CSC System or associated Services to perform in accordance with the Requirements of the Contract. A Deficiency may be discovered during testing or WSDOT oversight observations.

Where a Deficiency is detected, the Vendor shall report the nature of the Deficiency in detail. Deficiencies shall be prioritized at the sole discretion of WSDOT. **Priority Levels** may range from 1 to 3, with priority 1 deficiencies being those that would cause a cessation of Operations for any major Service component or loss of revenue. Priority 2 deficiencies would impede, but not stop Operations or cause lost revenue. Priority 3 deficiencies would be minor or administrative in nature. For priority 3 deficiencies, the testing can continue. For priority 1 and 2 deficiencies, the issue shall be rectified before testing can continue. If the Deficiency shall be rectified, WSDOT will decide what portion of the test or tests shall be re-run. Any time or direct expense required to re-run the tests and related expenses arising this shall be borne by the Vendor. The Vendor shall maintain a detailed Deficiency Log and tracking system beginning at the commencement of System development through to completion of the Contract. The Deficiency Log shall include all CSC Software, Hardware, Services, and Facilities. The Deficiency Log shall also record the approach to rectify the Deficiency, corrective action taken and the date

and time of such action. A copy of the Deficiency Log shall be provided to WSDOT at on a weekly basis.

As standard practice when repairing deficiencies and releasing System fixes, the Vendor shall prepare and run **Regression Testing** scripts to test each build that is delivered to the test environment to ensure that no regression problems have surfaced. Any regression issues shall be documented as deficiencies and resolved accordingly.

8.2.6 Factory Acceptance Testing

The Vendor shall perform Factory Acceptance Testing (**FAT**) following Approval of the Test Plan and Factory Acceptance Test procedures. A separate test migration process shall be conducted for the migration of Customer Data from the existing TNB Customer Service Center (See Section 9 of the Scope of Work for details.)

The Vendor shall complete FAT to ensure that all the required functionality of the Hardware and Software has been met with a focus on the incorporation of the Business Rules, Work flow processing rules, Data migration, system to system interfaces, and any required System Enhancements.

WSDOT will reserve the right to Approve the CSC System and associated Services at this stage in advance of beginning commissioning.

8.2.7 Integration and Commissioning Testing

The Vendor shall perform Integration and Commissioning Testing following Factory Acceptance Testing to validate that the CSC System, CSC Services and the migration of Customer Toll Accounts from TNB are ready for CSC Operations Commencement.

The Integration and Commissioning Testing shall demonstrate that the fully installed System and Services performs as required under the Scope of Work. The Integration and Commissioning Testing shall test all the System functionality, and the equipment, Software and internal and external communications interfaces under field conditions.

Successful demonstration of a System function at FAT does not exclude that function from commissioning testing.

The Vendor shall anticipate that Integration and Commissioning Testing shall be scheduled for an appropriate period of time in order to ensure that the full range of System functionality is demonstrated.

Integration and Commissioning Testing shall commence with a series of baseline test procedures to demonstrate core functionality in an unambiguous fashion. The test shall be completed from the central System Software out to interfaces and demonstrate all Work flows and Business Rules.

Testing will be directly monitored by WSDOT personnel or its representatives. WSDOT personnel or its representatives may assume direct roles as System testers to validate test processes and results.

WSDOT reserves the right, at its sole discretion, to determine if the CSC System and associated Services are ready for CSC Operations Commencement.

8.2.8 Acceptance Testing

The Acceptance Testing shall be performed by the Vendor after Tolling Commencement on SR 520 to demonstrate that the Vendor provided Systems and Services meet the Requirements of the Contract. A separate Acceptance Test shall be conducted for the migration of Customer Data from the existing TNB Customer Service Center (See Section 9 of the Scope of Work for details.)

The Acceptance Testing shall be performed for a period of sixty (60) Calendar Days after Tolling Commencement on SR 520 begins to ensure that the System performs as required under the full range of conditions.

Acceptance Testing will be directly monitored by WSDOT personnel or its representatives. WSDOT personnel or its representatives may assume direct roles as System testers to validate test processes and results.

The Vendor shall document any anomalies noted under Acceptance Testing. These observations shall be shared with WSDOT.

The Vendor shall correct any noted anomalies that result in unmet functional or performance Requirements prior to receiving **Final Acceptance** from WSDOT.

The Acceptance Testing shall be the final test to be completed and shall only be initiated once all of the System elements have been installed and configured and all previous tests have been successfully completed.

WSDOT reserves the right, at its sole discretion, to determine if the CSC System and associated Services meets the Requirements of the Contract.

8.2.9 Acceptance of the System and Services

The Vendor shall request **Acceptance** of the CSC System and Services from WSDOT based upon the achievement of the following **Qualifying Events**:

- Submittal and Approval of Business Continuity Plans
- Submittal and Approval of Acceptance Test Report
- Submittal of Deficiency Log
- Resolved Priority 1 and 2 Deficiencies
- CSC Systems and Services Operational for sixty (60) Calendar Days

WSDOT and the Vendor shall develop updated Program Schedule to address any unresolved Priority 3 Deficiencies.

WSDOT shall provide the Vendor with written notification of Acceptance.

*** End of Section ***

9　Migration of Data from TNB Customer Service Center

9.1　Introduction

The Vendor shall complete the migration of existing Transponder Accounts and related Data from the existing Tacoma Narrows Bridge (TNB) Customer Service Center to the new Statewide CSC established under the Contract. The existing TNB CSC Contractor shall be under a separate contract with WSDOT to assist the Vendor and WSDOT with this migration.

The TNB CSC supports Toll Customers using both TNB and the SR 167 HOT Lanes Pilot Project. The TNB CSC accommodates approximately 110,000 Customer Toll Accounts and 250,000 associated Transponders. The average number of Transponder Transactions is approximately 30,000 per Day.

9.2　Requirements

9.2.1　Approach

The Vendor shall develop a TNB CSC to Statewide CSC Data Migration Plan. WSDOT will review and Approve the plan. The Data Migration Plan shall address the methodology for Data migration, timing, and provide a test regime. Data migration activities shall include:

1.　Data mapping.

2.　Preparing conversion meta-data.

3.　Developing reports and other tools to validate detail and summary Data converted and provide metrics on the status of Data mapping and conversion.

4.　Developing Migration Test Plan and Migration Testing Procedures and the execution of these plans and procedures.

5.　Pre-cutover testing of processes and Systems using converted Data.

6.　Roll back procedures.

7.　Planning, testing and Implementation of the conversion of any automated payment processes.

8.　Planning, testing and conversion of website conversion.

9.　Transponder management handoff.

10.　Planning and Implementation of **IVR** cutover.

11.　Planning and Implementation of Data transfers between the new Statewide CSC and existing TNB CSC and TNB lanes, including Transaction files, Transponder status files, etc.

The Vendor shall coordinate with the existing TNB CSC Contractor to migrate Data. Vendor Data migration preparation activities shall not interrupt existing TNB CSC Operations.

The Vendor's proposed Data migration approach, Data migration tools, and processes are subject to performance review and Acceptance by WSDOT. The performance review and Acceptance for Data migration will include "trial conversions" with copies of production Data from the existing TNB CSC.

The Vendor shall successfully transfer at 100% all of the following information:

1.   Account identification information

2.   Account balances

3.   Credit card information

4.   **Automated Clearing House** (**ACH**) information

5.   Transponder and license plate information

6.   Transponder inventory

The Data Migration Plan shall detail how other information shall be successfully migrated to the new Statewide CSC and how success shall be measured. Risk assessment and tracking, as well as contingency planning, shall also be included.

All exceptions shall be manually reviewed and inserted into the production database by Vendor personnel.

9.2.2 Timing

The Vendor shall perform the Data migration from the TNB CSC according to the Program Schedule and before CSC Operations Commencement. The Vendor shall allow sufficient time for Data mapping activities, trial conversions, sampling of conversion results, review of conversion summary, and detailed metrics and validation reports. During Data migration and testing of the new CSC System, the existing System will continue to operate in parallel to ensure all pertinent information is available.

The Data Migration Plan shall detail how the schedule will be integrated with the deployment of the new CSC System and identify the Critical Path.

9.2.3 Scope

The Vendor shall coordinate with the existing TNB CSC Contractor and WSDOT to identify all types of Data and files that are available for migration into the new System. The Data migration shall at a minimum include all existing Data that is necessary to maintain account identification, fiscal, Customer contact/dispute, Photo-Enforced Toll Bill processing, and Transponder inventory integrity. This information shall include, at a minimum, the following Data:

1.   All current and historical Toll and Customer Service Transaction Data and all Customer Toll Account details.

2.   All current Transponder inventory information.

3.   All current and historical user information and audit trail components associated with current and historical Toll and Customer Service Transaction Data, all Customer Toll Account details, and current Transponder inventory Transactions.

4.   All physical and electronic current and historical documents and Transactions not specifically identified above such as daily accounting entries, bank deposit amounts, and age of unpaid amounts.

Data to be migrated may include a variety of formats and file types, including photos and other **Image Files**.

All of the electronic WSDOT Data contained in the existing TNB CSC System will be available for transfer to the new Statewide CSC System. The existing TNB electronic Data will be located on a secure site provided by the existing TNB CSC Contractor. The Vendor shall coordinate with the existing TNB CSC Contractor to establish secure connections. The Vendor shall be responsible for establishing communications to the secure site.

Pertinent paper documents (or electronically scanned documents) shall include but not be limited to:

1.   Customer Toll Account applications

2.   Customer correspondence

3.   Financial reconciliation and accounting information

The Vendor shall develop detailed Migration Test Plan and Migration Testing Procedures to validate the extraction of the required datasets, production of the required datasets, and the transfer of the required datasets to the new Statewide CSC System. WSDOT will review and Approve the Migration Test Plan and Migration Testing Procedures.

Data and reports archived on the existing TNB system shall be migrated and stored on the new System in such a manner that it can be easily accessed as needed and as required by law.

9.2.4 Data Mapping

The Vendor shall develop Data mapping and associated meta-data at the table/file, element, attribute, and value levels. The Vendor shall propose and receive WSDOT Acceptance of minimum thresholds for success in the mapping of current system Data to the Vendor's Data repository. The Vendor's Data mapping processes shall provide for a complete audit trail of any translation process. The TNB CSC Contractor will be available, under separate contract to WSDOT, to explain the details of the existing TNB Data structure and format and to answer any questions.

The Vendor shall coordinate with the existing TNB CSC Contractor and WSDOT to identify and transfer all electronic Data and paper documentation required for the new Statewide CSC operation in order to ensure the complete integrity of the existing Customer Toll Accounts and records. The Vendor shall work with the existing TNB CSC Contractor and WSDOT to resolve Data mapping issues identified during the Data migration process.

9.2.5 Data Migration Results

"Trial conversion" and actual Data migration results for TNB CSC Data shall include control reports or other tools that demonstrate the pre-conversion composition of the

Data, the post-conversion composition of the Data, and the variances between the two for all converted Data types.

The Migration Test Plan will include provisions for trial migration, full migration, and Operational monitoring. The Migration Test Plan shall include testing production Systems and Operations using a full complement of migrated Data (production dataset). Migration Testing Procedures and associated results shall take into account variances in outcomes that are anticipated as a result of changes in functionality. The Vendor shall review in detail randomly selected accounts based on a percentage defined in the Data Migration Plan. In addition, the Vendor shall select critical parameters such as trial balance account total, total pre-paid balance, total accounts, total Transactions (quantity and amount), and receivables, and other defined parameters for comparison to the existing TNB system.

Variances between the pre- and post-conversion Data composition shall be detailed at the Transaction, user, account, and/or Transponder level. The Vendor shall document any variances in the Deficiencies Log. Vendor explanations of Data migration variances shall include remediation plans or dispositions specifically accepted by WSDOT. The Deficiencies Log shall be used by the Vendor to review the results of the Data migration with WSDOT in order to obtain Approval from WSDOT on the Data migration process and the Approval CSC Operations Commencement with the migrated accounts and associated Transaction information.

Data mapping and Data conversion results shall be available to support the resolution of Customer disputes, response to public information requests, internal and external audit Requirements and other disputes for the life of the Contract.

The Vendor shall coordinate with the existing TNB CSC Contractor and WSDOT to develop procedures for carrying out the financial reconciliation and eventual closure of the existing TNB CSC Contractor's CSC accounts. The procedures and reconciliation methods will be reviewed and Approved by WSDOT.

The Vendor shall submit to WSDOT for review and Approval the Migration Test Report and Deficiencies Log. The Vendor shall notify WSDOT that the Vendor has achieved the conditions established in the Data Migration Plan and Migration Test Plan for migration of the Data prior to CSC Operations Commencement. The resolution of all Deficiencies may be required by WSDOT, at its sole discretion. WSDOT, at its sole discretion, shall Approve the beginning of CSC Operations Commencement.

The Vendor shall arrange for the transfer of other related existing TNB CSC documentation at the direction of WSDOT.

The Vendor shall provide Data migration test reports to WSDOT for review and Approval.

Upon completion of Data migration and after CSC Tolling Commencement, the new CSC System shall be subject to Operational monitoring to ensure all Data was correctly transferred. The Vendor shall inform WSDOT of any anomalies. The Vendor, in consultation with WSDOT, shall determine any appropriate corrective actions. If required, the roll back process will be initiated at the discretion of WSDOT.

*** End of Section ***

10 Automated System Functionality

10.1 Introduction

The CSC System shall be comprised of the Subsystems and equipment necessary to provide complete functionality specified under the Contract, including but not limited to: integrated central application Software; commercial-off-the-shelf (**COTS**) Software; databases(s); computer systems; storage; networks; communications; and all supporting equipment, such as printers, workstations and other peripheral devices, necessary to operate the System. The CSC System shall address processing Requirements detailed in the Business Rules and the Scope of Work. The CSC System shall support the number of Customers, Vendor Staff and WSDOT personnel required to meet the performance Requirements of the Contract.

10.2 Requirements

10.2.1   General

The CSC System shall be scaled to support the anticipated number of accounts and Transactions with consideration towards potential future Program expansions. The CSC System shall be **Scalable** and flexible to support increases and changes in Toll Transportation Facilities locations, Transaction volume, Transaction types, payment methods, and Customer Toll Account types over the life of the Contract while meeting all performance Requirements.

For planning purposes, the CSC System shall for the term of the Contract:

1.   Accommodate up to five (5) million Transponders.

2.   Accommodate up to three (3) million Customer Toll Accounts.

3.   Process up to 500,000 **Toll Transactions** per Day.

4.   Provide connections to up to ten (10) separate Toll Transportation Facilities.

5.   Support up to 30 WSDOT concurrent users.

The CSC System solution shall conform to Washington's Information Service Board (**ISB**) Enterprise Integration Architecture Standards that are designed to enable agency to agency Data sharing, System interfaces, and Data integration. The CSC System shall conform to the related standards for Service modeling, integration design, shared Infrastructure, and State architecture solution sets at:

http://dis.wa.gov/enterprise/enterprisearch/financial_admin_initiative.aspx

The CSC System shall comply with the leading IT standards, such as: Institute of Electrical and Electronics Engineers (**IEEE**) - Information Assurance Standards Committee (**IASC**); International Organization for Standardization (**ISO**); American National Standards Institute (**ANSI**); International Committee for Information Technology Standards (**INCITS**); National Institute of Standards and Technology (**NIST**); DOD 50 15.2 (Records Management); and Open Web Application Security Program (**OWASP**).

The CSC System shall automatically log an account history for all manual updates, changes and adjustments to account records, including the user who made the changes.

The CSC System shall support full auditing capabilities and accountability for all Transactions processed through the System by tracking and reporting the user or Customer, date, and time a record was accessed, updated, or reported upon based on user configurable rules.

The CSC System shall have the ability to drill down all high-level reports to the next level of detail including to the specific individual Transaction as required.

The user shall have the ability to display and review the lane image and event details associated with the selected Transaction.

The CSC System shall support the creation, addition, and retention of electronic signatures for Transactions.

The CSC System shall deliver content via a web browser that supports Microsoft Internet Explorer, Firefox, Safari, Netscape, Mozilla, and other standard Internet access tools over the life of the Contract.

The CSC System shall have the ability to export Data items and/or reports and queries in a variety of file formats (such as MS Excel, Word, Access, PDF, and HTML).

All equipment, supplies, and materials comprising the CSC System shall be Operational technologies modified only to meet the overall special Requirements of the Contract.

For the purpose of these Requirements, the term CSC System refers to all Software running on the Vendor's servers supporting the CSC, all Data stored on the System, and all Hardware, as well as development, testing and training systems. The Software includes, but is not limited to, operating systems, databases, application Software, communication protocols, and third-party supporting Software.

10.2.2   Computer System Architecture

The CSC System should follow a Service Oriented Model architecture [examples include Simple Object Access Protocol (**SOAP**) and Representational State Transfer (**REST**)].

The Vendor shall provide a System architecture design that identifies:

1.   The CSC System Hardware components required for both Data processing and Operations (e.g., primary servers, workstations, network printers, etc.)

2.   The interconnection between CSC System Hardware components.

3.   The interconnection between the CSC System and the Toll Collection System at Toll Transportation Facilities.

4.   The interconnection between the CSC System and other systems.

5.   The interconnections between the CSC System and internet.

6.   The interconnection between the CSC System and interactive voice response capabilities.

10.2.3   System Operations Environment

The Vendor shall ensure the CSC System is hosted in a fully secured data center environment per the Security Management Plan. The **Host** system shall have a hot spare server configuration similar to an active/passive system with a minimum of RAID 5 with hot spare on each server as redundant hot-backup servers. Cluster environments may also be employed. All equipment supporting the CSC System shall be powered through a UPS and shall be capable of uninterrupted operation for a period of at least 60 minutes on battery power.

10.2.4   System Hardware and Equipment

The Vendor shall be responsible for all labor, materials, and support Services required for the fabrication, packaging, delivery, installation, testing, and integration of the System servers, development and test servers, workstations, Hardware, printers, communications equipment, and other items to meet the Requirements of the Contract. The System configuration shall have redundancy so that the CSC System can be brought online and back into operation without Data loss. The Vendor shall supply, operate and maintain all CSC System Hardware and equipment. The Vendor shall retain ownership of all CSC System Hardware and equipment, except for any WSDOT provided Hardware and equipment.

All major Hardware elements shall be of the latest design and incorporate standard commercial products currently in production. The Vendor shall use server configurations that support future upgrades to processors, memory, storage, operating system, database, and other System components, and the Vendor shall allow for anticipated growth in processing volumes in its installed Hardware.

10.2.5   External Interface Support

The CSC System shall communicate with the entities listed in the system to system interfaces Requirements described in the Section 34 of the Scope of Work, with the ability to expand new Toll Transportation Facilities in the future.

10.2.6   Financial Accounting System Requirements

The Vendor's integrated CSC Software solution shall meet the System Requirements for financial accounting functions as detailed in Section 28 of the Scope of Work.

The CSC System shall include a subsidiary accounting system in full compliance with GAAP.

10.2.7   Toll Rates

The Vendor shall automatically apply the correct Toll rate from the Toll schedule to Transponder and Photo-Enforced Toll Transactions when processed upon receipt from the Operational WSDOT Toll Transportation Facilities except for Toll Transportation Facilities that employ dynamic pricing algorithms (e.g., as currently being used on the SR 167 **HOT Lanes**). In the case of the latter, the applicable Toll rate shall be provided as part of the Transaction. The Toll schedules for each Toll Transportation Facility may include separate Toll rates for time of Day and vehicles classifications based on axles, shape, vehicle occupancy, and/or purpose.

10.2.8   Databases

A database management system (DBMS) shall be provided to meet the functionality described throughout the Contract.

The DBMS shall provide the industry standard functionality, elements, and capabilities encountered in commercially available DBMS. The DBMS shall be the latest version supported by the DBMS provider. The Vendor shall maintain the DBMS at a currently supported version for the duration of the Contract period.

The DBMS shall have internal features to help prevent inappropriate access to sensitive personal information. The Vendor shall document the Data protection features of the DBMS.

Calculations to generate results from the Data elements and summaries of Data elements shall be generated in the same manner throughout the System. The information provided by the System shall be consistent, match and reconcile throughout the System.

The database(s) shall include Software that allows the user to configure the scheduling of the backups.

The DBMS shall be compatible with open source database formats.

10.2.9   User Interface

The CSC System shall include a user interface to support operator Data entry, Data search and review, and report querying to support and streamline the functions and Services described in the Contract and the Business Rules.

The CSC System shall support the inclusion of triggers to additional Data screens based on specific Data input (content based navigation).

The CSC System shall highlight errors for immediate correction by self-service Customers and other **Authorized Users**. The System shall include functionality to protect against errors in manual Data input, including account numbers and spell checking. Spell checking shall include Washington State city names.

The CSC System shall track and report effective beginning and end dates for user configurable Data parameters.

The CSC System shall comply with and support Requirements of the Americans with Disabilities Act (**ADA**).

For local and remote WSDOT access, the CSC System shall allow web browser-based, secure access.

The CSC System shall support the use of colored fonts in forms and on screens.

The CSC System shall provide the ability to terminate users if inactivity exceeds a time out period based on user configurable rules.

10.2.10   Search Functionality

All account parameters shall be available for review and/or update within user access levels.

The CSC System shall support search for Payment Transactions, Toll Transactions, Customers, Transponders, license plates, dates, and documents, based on user configurable search criteria that may include **Wildcards**.

All Toll Transaction and Payment Transaction identification numbers shall be searchable.

10.2.11   Data Protection and Integrity

The CSC System shall support encryption or other methods to ensure secure transmission of Data at least at the level required by the Washington State Information Technology Security Standard – Policy No. 401-S4. This policy requires encryption such that:

1.   All manipulations or transmissions of Data during the exchange are secure.

2.   If intercepted during transmission, the Data cannot be deciphered.

3.   Confirmation is received when the intended recipient receives the Data.

4.   The exchange of information shall occur between secure end points.

5.   Entities shall use industry standard algorithms or cryptographic modules such as those validated by the National Institute of Standards and Technology (NIST).

The CSC System shall support the use of role based security with various access levels, function rights, and controls over the visibility of information that can be assigned to different user groups or individuals by Authorized Users.

The Vendor shall prevent unauthorized access to the web server or the CSC System, including by Vendor internal Staff.

The CSC System shall encrypt all Data transmitted through the internet or extranet.

The CSC System shall comply with all applicable standards issued by the Payment Card Industry Data Security Standard (PCI DSS) throughout the life of the Contract.

The Vendor shall provide integrated and comprehensive anti-virus protection Software throughout the CSC System.

The CSC System shall ensure that duplicated or inconsistent Data does not exist between the different functions of the System.

The CSC System backup processes shall be designed to prevent the loss of Data.

The CSC System shall support the archive and purge of records and associated meta-data based on user configurable retention rules.

The CSC System shall provide the ability to retrieve archived Data throughout the duration of the Contract in a timely manner.

The Vendor shall provide System security as described in the security Requirements of this document.

10.2.12   Communications

The Vendor shall establish, install, operate and maintain all telephone, voice, and Data communications required to meet the Requirements of the Contract.

The Vendor shall establish communication links to all required external systems. The Vendor shall implement security processes to protect the CSC System for all links to external systems and remote users.

Figure 3 provides a notional overview of the CSC System communications network.

The Vendor shall be responsible for the cost of all communications required for the Program.

Figure 3: CSC System Communication Network Overview
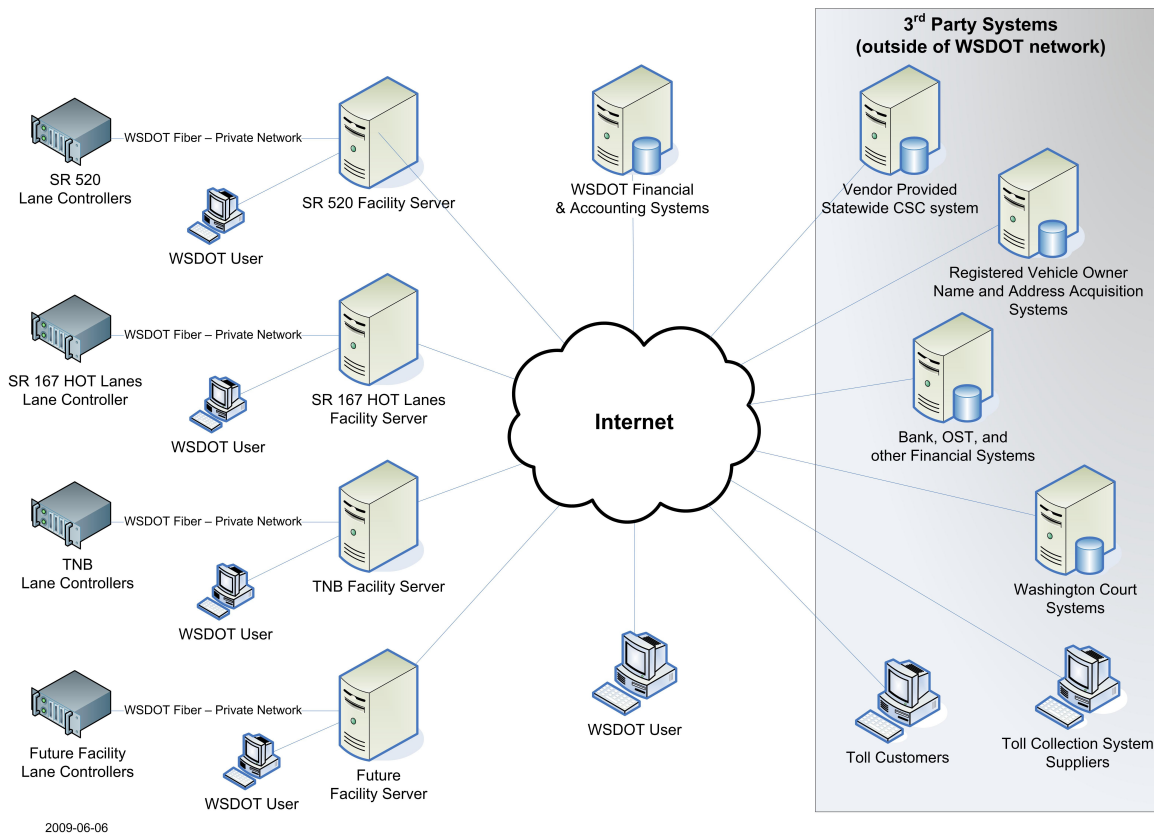
10.2.13   Time Synchronization

The CSC System shall have a master clock that obtains time synchronization from an official source shared with the Toll Transportation Facilities.

All processing Hardware, computer terminals, and any other device whose operation involves current date and time Data for System functionality shall have automatic synchronization features such that all equipment time and date parameters are synchronized with the master clock.

10.2.14   Upgrades and Enhancements

The Vendor shall develop a continuous CSC System update program as part of the overall Program Management Plan that addresses System obsolescence and details an upgrade schedule for System components over the life of the Contract. Software modifications that are required to maintain and support the CSC System as a part of the

normal course of business such as version changes, configuration or parameter changes or minor changes to Software or code such as changes to the **DOL** interface to accommodate changes to license plate information, changes to summary financial Data required by WSDOT, or, changes that improve the Vender's ability to maintain and support the CSC System, shall be considered ordinary upgrades or Enhancements that shall not be paid for by WSDOT.

Extraordinary upgrades and Enhancements required for reasons such as meeting major changes to standards, statutes or interoperability Requirements, or the addition of new functionality, or that provide WSDOT with a demonstrable benefit in performance, costs or productivity shall be proposed by the Vendor in accordance with the Requirements of the Change Order process as set forth in the Contract.

*** End of Section ***

11 Language Support Requirements

11.1 Introduction

Most Toll Customers who will be serviced by the new Statewide CSC speak the following languages: English, Chinese, Korean, Japanese, Russian, Spanish, and Vietnamese. Table 2-2 below provides language related demographic information of the population in the four county region in which most of the Toll Customers are anticipated to reside.

CSC Services will be required for Toll Customers who are deaf or hard of hearing.

Table 2-2: Language Spoken at Home for the Citizen Population 18 Years and Over Who Speak English Less Than "Very Well" (2000 Census)

County	Total population	Total Not Speaking English Very Well	Speak Spanish or Spanish Creole	Speak other Indo European language	Speak Asian or Pacific Island language	Speak other language
King County	1,737,034	51,605	8,495	9,020	32,465	1,625
Snohomish County	606,024	11,470	2,705	2,100	6,355	310
Pierce County	700,820	13,025	3,255	2,270	7,240	260
Kitsap County	231,969	3,070	850	470	1,690	65
Total for Four Counties	**3,275,847**	**79,170**	**15,305**	**13,860**	**47,750**	**2,260**
% of total population	100.0%	2.4%	0.5%	0.4%	1.5%	0.1%

11.2 Requirements

The Vendor shall serve the language and deaf or hard of hearing Requirements of the CSC Toll Customers as detailed below

The Vendor shall include multi-lingual ability as a preferred qualification for customer service representative positions.

11.2.1   Printed Materials

WSDOT will prepare and update printed *Good To Go!* informational brochures on how to purchase a Transponder, establish an account and use the Toll Transportation Facilities in English, Chinese, Korean, Japanese, Russian, Spanish, and Vietnamese. The Vendor shall distribute the materials prepared by WSDOT.

11.2.2   Call Center Voice Service

The Vendor is required to support, at a minimum, the following languages: English, Chinese, Korean, Japanese, Russian, Spanish, and Vietnamese. This support may be provided through customer service representatives who speak these languages or through a translation service. The Vendor may use "language line" interpreters when receiving calls from Customers speaking a language that cannot be interpreted by CSR Staff.

11.2.3   Automated Customer Service Phone Services

WSDOT will prepare and update recorded information on how to purchase a Transponder, establish an account and use the Toll Transportation Facilities in English, Chinese, Korean, Japanese, Russian, Spanish, and Vietnamese. The Vendor shall provide access to this recorded information on their Interactive Voice Response (IVR) System.

11.2.4   Telecommunications Device for the Deaf (TDD)

The CSC shall provide CSC Services to Customers who are deaf or hard of hearing.

The CSC call center shall support a nation-wide toll-free **TDD** phone number.

11.2.5   Internet

The CSC shall adhere to web accessibility standards for all content on the *Good to Go!* website.

The CSC System shall provide for downloading *Good To Go!* informational brochures on how to purchase a Transponder, establish an account, and use the Toll Transportation Facilities via the website in English, Chinese, Korean, Japanese, Russian, Spanish, and Vietnamese. WSDOT will provide and update these brochures in PDF format.

*** End of Section ***

12 Section Not Used

This Section Left Intentionally Blank.

*** End of Section ***

13 Account Establishment

13.1 Introduction

The Vendor shall provide Services to support establishing (i.e., opening) Customer Toll Accounts.

The types of accounts will include:

1. **Transponder Accounts**: Transponder Accounts will be the primary type of account supported by the Program. These **Prepaid Accounts** will have a Transponder assigned to each vehicle on the account. The types of accounts will include, but not be limited to, **Registered** (standard), **Unregistered** (anonymous), commercial (for business), government, and **Non-Revenue** (only as applicable as noted in the Business Rules). In addition, special considerations may apply for motorcycles, transit vehicles, and registered **High Occupancy Vehicles**. These account types and conditions are detailed in the Business Rules and may change over the duration of the Contract.

2. **Registered License Plate Accounts**: These Prepaid Accounts will use the registered account holder's vehicle license plate number to uniquely link the vehicle to the Customer Toll Account. These accounts will not have Transponders assigned to them. If no funds are available in the account, Customers will receive a Photo-Enforced Toll Bill based upon the image of their registered vehicle license plate that was captured crossing the tolling point. License Plate Account holders shall be encouraged to convert to Registered Transponder Accounts and may be subject to additional fees and usage limitations as defined in the Business Rules.

Additional account types are anticipated to be required in the future and will be supported by the Vendor as part of their configurable solution.

13.2 Requirements

The Vendor's Services shall meet the following functional Requirements as described below.

13.2.1   Startup Period Goals and Incentives

13.2.1.1   Account Establishment Prior to Tolling Commencement

The Vendor shall complete *Good To Go!* account set-ups and fulfill Transponder orders as required, with particular emphasis on meeting the high demands expected during the **Start-Up Phase**. Through aggressive marketing, advertising, and incentive programs, WSDOT plans to motivate at least 300,000 households to establish *Good To Go!* accounts prior to the Tolling Commencement on SR 520, with an additional 200,000 households or more signing up during the subsequent year. The ultimate goal is to have 50% of daily traffic using the *Good To Go!* system at the start of tolling, rising to 80% within the first six months of operation, as shown in Table 2-3 below. The estimated daily traffic on SR 520 is between 95,000 and 110,000 per Day depending on the

implemented Tolling scheme to be determined by the Washington State Transportation **Commission**.

Target Date:	Transponder Penetration Goal (of daily traffic)
SR 520 Open to Tolling	50%
One month after SR 520 Tolling Commencement	55%
Two months after SR 520 Tolling Commencement	60%
Three months after SR 520 Tolling Commencement	65%
Four months after SR 520 Tolling Commencement	70%
Five months after SR 520 Tolling Commencement	75%
Six months after SR 520 Tolling Commencement	75%

Table 2-3: Transponder Penetration Goals

The Vendor shall be prepared to establish and fulfill accounts at the earliest possible date. The Vendor's response shall identify alternative distribution methods that may be employed in order to meet WSDOT's goals for Transponder distribution prior to Tolling Commencement.

The Vendor shall document its chosen approach in detail in a Transponder Distribution Plan. The plan shall be submitted to WSDOT for review and Approval.

13.2.1.2   *Incentive Programs*

Current projections estimate the need to establish some 300,000 accounts (with approximately 600,000 Transponders associated with them) prior to the Toll Commencement on SR 520.

WSDOT may provide one of the following incentives to all *Good To Go!* Customers using SR 520 to encourage early sign-ups for Registered Transponder Accounts:

1.   First month free SR 520 Tolls with *Good To Go!* Transponder

2.   First month half price SR 520 Tolls with *Good To Go!* Transponder

3.   First month $1.00 off each SR 520 trip with *Good To Go!* Transponder

4.   Provided Transponders at a reduced cost on first distribution

The exact incentive level that will be offered will be determined through market research during the development of the *Good To Go!* marketing campaign. Potential Customers will provide feedback on the level of incentive necessary to spur them to early action. The chosen incentive will be prominently featured in WSDOT's advertising and outreach materials to encourage Customers to sign-up as early as possible.

Customers paying by Photo-Enforced Toll who convert to *Good To Go!* during the incentive period will begin receiving discounted Tolls as soon as they establish an account, through the end of the incentive period.

The Vendor shall develop and implement its own strategies and incentive programs beyond the measures taken by WSDOT to reach the *Good To Go!* fulfillment goals outlined above. All Vendor sponsored strategies and incentive programs shall require WSDOT review and Approval prior to Implementation.

13.2.2   Methods of Service

The Vendor shall provide Services to support opening Transponder and Registered License Plate Accounts through the following methods, but not limited to:

1. **Internet**: Customers shall be able to open a Transponder or Registered License Plate Account online via the Vendor provided website. The Customer shall input the required information, which shall result in the automatic creation of a new account. The website shall support readily available web browsers. The website shall incorporate Data entry checking features to ensure the accuracy of Customer provided input and checks against duplicate license plate entries associated with existing accounts. The website shall specifically check zip codes against addresses. The website shall include help functions, credit card safeguards, and security features in keeping with credit card industry standard. The look and feel of the website shall conform to overall WSDOT website Requirements.

2. **Walk-in**: The Vendor shall provide in-person account opening Services at its customer service storefront locations during business hours which are defined in the Business Rules. Customers shall be able to either fill out a paper application which shall be used by the Vendor to open the account, or be directed to an online computer terminal to open the account using the website.

3. **Mobile Customer Service Center(s)**: The Vendor shall establish the use of mobile Customer Service Centers as part of their approach to issuing Transponders to meet the Requirements of Contract. The Vendor shall input the information gathered from Customers at the mobile CSC into the CSC System to establish the Customer Toll Account.

4. **Telephone**: Customers may call the Customer Service Center toll-free to open an account. The Vendor shall accept the Customer's information over the phone and open the account. Opening an account shall be a top-level phone tree selection.

5. **Mail**: Account applications shall be accepted by mail. The Vendor shall input the information into the CSC System to establish the Customer Toll Account and mail ordered Transponders to the Customer. The Vendor shall comply with WSDOT mail retention policies.

6. **Facsimile**: Account applications shall be accepted to a secure facsimile machine at the Vendor site. The Vendor shall input the information into the CSC System to establish the Customer Toll Account. The Vendor shall comply with WSDOT mail retention policies.

13.2.3   Customer Toll Account Record

Each Customer Toll Account shall be electronically stored as an account record in the CSC System database. Account records shall be structured to contain at least the following information:

1. **Assigned Account Number**: Unique account identification number as assigned automatically by the CSC System.

2. **Contact Information**: Customer name, address, phone and email(s) contact information. The CSC System shall have the ability to record and support multiple addresses and emails per account.

3. **Account Type**: Type of account.

4. **Account Status**: The current account status, as per the Business Rules, and updated by the CSC System.

5. **Vehicle Information**: Year, make, model, color and license plate information for each vehicle on the account and class. Vehicle information for vehicles registered in Washington State shall be verified against Washington State DOL records.

6. **Payment Method**: Payment information for the initial account establishment payment and replenishments including all Data required for the verification of credit and branded debit card numbers and **EBT** payment cards with WSDOT's designated partners.

7. **Replenishment Method and Threshold**: Payment information for automatic replenishment and the dollar amount threshold at which replenishment occurs. The Vendor shall support automated adjustment of replenishment amounts based upon the Business Rules, as well as accept more than one automatic replenishment method and indicators of which should be the primary or secondary method.

8. **Transponder Assignment**: Transponders assigned to the vehicles on the account.

9. **Discount Program Enrollment**: Whether the Customer is enrolled in a discount program as defined in the Business Rules or in the future at the discretion of WSDOT.

10. **Statement Options**: Customer's chosen options for receiving statements.

11. **Preferred Language**: Customer selected language of choice for written communications according to the Section 11 of the Scope of Work.

12. **Primary Toll Transportation Facility**: Ability to designate or assign primary toll Transportation Facility used by the Customer.

13. **Demographic Information**: Optional demographic information that may include gender, income levels and other information that may be used for analysis purposes. These items shall be defined during Implementation.

This information shall be entered by the Customer or the Vendor based on the method of service as defined in the Business Rules. Required information shall vary by account type as described in the Business Rules. The Vendor shall provide a configurable System that

will allow for the addition of other account Data and the ability to add additional categories of information.

13.2.4   Discount Programs

The Vendor shall provide the ability to charge eligible Toll Customers a discounted Toll charge as defined by current Laws and Regulations and WSDOT policy as defined in the Business Rules. The Vendor shall establish Registered Transponder Accounts for Toll Customers who are eligible for Toll discounts as defined in the Business Rules and as authorized by law.

Potential types of discount programs to be supported by the Vendor's provided Software application include, but are not limited to, the following:

1.   **Non-Revenue**: Designated accounts or specific vehicles and associated Transponders that are not charged for Tolls on specific Toll Transportation Facilities.

2.   **Transponder Based Toll Transaction**: Reduced Tolls for vehicles using Transponders and not paying cash (at TNB only).

3.   **Visitor Pass**: Allows visitors to the region to purchase a pass for travel on Toll Transportation Facilities for a specific period of time at a flat rate on a prepaid basis.

4.   **Vehicle Occupancy**: Reduced Tolls for vehicles with a certain number of vehicle occupants.

5.   **Location Based**: Reduced Tolls for Customers who live and/or work within certain designated geographic locations.

6.   **Government Agency**: Reduced Tolls for designated government agencies if authorized under current Laws and Regulations.

7.   **Frequent Users**: Reduced Tolls for frequent users of designated Toll Transportation Facilities based on the number or value of trips over a certain period of time. The System shall be capable of calculating and applying a number of free trips earned each month to the appropriate account per the parameters of the discount program.

WSDOT will establish the business and eligibility rules for all discount programs. Some discount programs shall be established at the Transaction level through the use of Toll rate schedules.

The designation of all **Non-Revenue Transponder Accounts** and distribution of associated Transponders shall require WSDOT or authorized Vendor management approval according to the Business Rules and internal Vendor controls. WSDOT will verify the eligibility of all Non-Revenue Transponder Accounts and maintain electronic copies of required documentation.

13.2.5   Outcomes

Opening an account shall result in the following activities in accordance with the Business Rules:

13.2.5.1   Process Payments

The Vendor shall process payments as required in Section 25.

The Vendor shall accept the following methods of payment, in accordance with the Business Rules, when an account is opened:

1.   **Cash**: in person (Note, the Vendor shall have to comply with State Requirements for the handling of cash)

2.   **Check**: in person or by mail

3.   **Money Order**: in person or by mail

4.   **Cashier's Check**: in person or by mail

5.   **Traveler's Check**: in person or by mail

6.   **Similar Guaranteed Drafts**: in person or by mail

7.   **ACH Transfer**: in person, by phone, online or by mail

8.   **Credit Card or Branded Debit Card (without PIN)**: in person, by phone, by fax, online or by mail

9.   **Debit Card (with PIN)**: in person

10.   **EBT (Electronic Benefits Transfer) Card (with PIN)**: in person.

11.   **Interagency payment** (**IAP**): Applies to Washington State agencies only, for payment of Tolls per the Business Rules.

Methods of payment may change over the duration of the Contract, the acceptance of other payment types and valid locations for accepting payment types shall be supported by the CSC System through user configurable processing rules.

Upon completion of the account opening process, a printable receipt shall be generated and provided to the Customer or Person making the payment in accordance with the Business Rules. The Vendor shall provide the capability to generate duplicate receipts upon a request by a Customer.

13.2.5.2   Transponder Order

Opening a Registered Transponder Account shall result in the generating of a Transponder order to be processed as described in Section 15. The Vendor shall distribute the Transponders(s) to the appropriate Customer. Both in-person and mail distribution shall be provided.

13.2.5.3   Send Welcome Email

Customers who open their accounts via the website shall automatically receive a "Welcome" email when their account is created. The Welcome email shall include their new account number, payment confirmation, account login information and contact information at the CSC.

13.2.5.4   *Conversion to Registered Transponder Account Notice*

Customers who have opened a Registered License Plate Account shall be sent an electronic notice informing them of the financial and convenience benefits of opening a Registered Transponder Account, with information on how to convert to such an account.

*** End of Section ***

14 Account Management

14.1 Introduction

The Vendor shall provide Services to support Registered License Plate and Transponder Account management.

Account management Services shall include at a minimum three main service types:

1. **Automated/System Initiated Services**: These are automatic Services provided by the CSC System. The automatic Services shall monitor changes and conditions in the Customer Toll Accounts. Account alerts are sent to Customers to notify them of events, including, but not limited to, unsuccessful balance replenishments, expiring credit cards, and account status changes to Low Balance, suspended or Closed. The System shall also automatically generate Customer invoices for outstanding fees (i.e., **Non-sufficient Funds**) based upon user configurable rules. The format of these invoices shall be subject to Approval by WSDOT.

2. **Customer Self-Service**: These are Services that the Customer may perform themselves online.

3. **Customer Requested Services**: These are Services provided by the Vendor upon request from a Customer.

Email shall be the default method of corresponding with and responding to Customers regarding account management activities; unless no email address is provided by the Customer. The Vendor shall allow multiple email addresses for Customer contact. If the Customer provided email address is invalid, the Vendor shall attempt to notify the Customer via another method and automatically update the account to send hard copy correspondence and statements until a valid email address is identified.

14.2 Requirements

14.2.1 Automated/System Initiated Services

Automatic notifications shall be generated and sent by:

1. **Email**: Default preferred method.

2. **Phone**: using an automated dialer and recorded message functionality.

3. **Print/mail**: if no other valid contact information is available.

Statements shall be sent by email, unless a paper statement is requested by the Customer.

Customer invoices for outstanding fees shall be sent by email or mail based on Customer preference and user configurable processing rules.

14.2.1.1 Statements

On the configurable date and other defined parameters set as the end of the quarterly or monthly billing period, the Vendor shall automatically generate statements for all registered account holders for the current billing period.

Statements shall be generated in PDF format.

Statements shall include, as a minimum:

1.   Individual Toll Transactions and total for each Transponder or license plate, including Transaction date and time, Toll Transportation Facility location and Toll charge.

2.   Individual Transponder totals and a subtotal for all Transponders assigned to the account. For Registered License Plate Accounts, this section of the statement shall be organized by license plate.

3.   Individual fees and adjustments to charges and a subtotal.

4.   Individual payments and payment adjustments and a subtotal.

5.   Overall summary with previous balance, the subtotal for payments and payment adjustments, the subtotal for fees and charge adjustments, the subtotal for Transponder or Photo-Enforced Toll charges, and the new balance.

6.   Applicable discounts.

The format of the statement shall be consistent with the current *Good To Go!* statement format, modified to display Photo-Enforced Toll charges. The final format and any further changes shall be Approved by WSDOT.

A designated portion of the statement shall be available for WSDOT to post announcements and messages. WSDOT will provide any announcement text prior to a monthly cutoff date to be agreed upon by the Vendor and WSDOT.

The email shall indicate a link where the Customer may view their statement online via the *Good To Go!* website.

Customers shall also have the ability to view their current statement and up to one year of prior statements by logging on to the secure portion of the website.

The default statement delivery method shall be via email.

The Vendor shall print and mail statements upon request from Customers. Mailed statements shall be subject to a fee assessed against the Customer's Toll Account.

Any charges for sending email and paper statements shall be in accordance with the Business Rules and will be assessed to the Customer Toll Account per user configurable processing rules.

The Vendor shall print hard copies of current or previous statements upon request from a Customer at a walk-in CSC. The Customer may be assessed a fee for each page copied in accordance with the Business Rules.

14.2.1.2   *Account Status Alerts*

The Vendor shall generate and send automated account status alerts for accounts with failed replenishment, pending credit card expiration dates, accounts that are facing closure due to inactivity, **Low Balance Accounts**, and accounts that have been suspended.

The Vendor shall automatically notify Customers with failed replenishments that have reached the end of the replenishment attempt cycle.

The Vendor shall automatically notify Customers whose credit cards used for replenishment are thirty (30) Calendar Days from the first Day of the month that the card will expire.

The Vendor shall automatically notify Customers without automatic replenishment whose accounts have reached the Low Balance Account threshold.

The Vendor shall automatically identify, track and report accounts that have had zero Toll Transactions in a configurable number of months. These Customers shall be automatically notified that their account will be closed in a configurable number of Calendar Days if the account continues to be inactive.

Inactive Accounts that continue to show no activity over this period shall be automatically closed and a refund issued for any remaining account balance.

The Customer shall be automatically notified that their account is suspended and their Transponders are invalid pending replenishment.

The Vendor shall use automated phone or email Services to send the alerts via the Customer's preferred method of contact.

The Vendor shall provide CSC Staff with the capability to merge accounts to eliminate duplicative accounts or at the request of Customers.

14.2.1.3   Negative Balances

If a Registered Transponder Account reaches a negative balance and is not replenished within a configurable grace period, the Vendor shall follow the Requirements set forth in the Business Rules.

14.2.1.4   Inactive Accounts

The CSC System shall monitor accounts that continue to show no activity over the time period as defined in the Business Rules. Accounts shall be assessed fees, closed and/or issued refunds in accordance with the Business Rules based on user configurable process rules.

14.2.2   Customer Self Service/Web-Based Services

The Vendor shall provide a secure website where Customers may log in with their user name and password to perform the following functions:

1.   View account status

2.   View account activity

3.   Replenish prepaid balance

4.   Update account record

   a) Change name

   b) Change contact information

    c) Add or remove vehicles

    d) Add or remove Transponders or other items to the account. A Transponder order shall be generated for new Transponder requests

    e) Change replenishment method, amount, or cancel auto-replenishment

    f) Statement delivery method

    g) Make payments, including payment of Photo-Enforced Toll Bills

    h) Change password

5. Enter a dispute associated with a particular Toll Transaction, fee, **Toll Bill**, retail sale or other account charge

For changes to the account name, address or email address, the Vendor shall send an email or mail verification to the previous address on record, in order to prevent fraudulent account changes.

The Vendor shall support online look up and payment of Photo-Enforced Toll Bills by Toll Bill number or license plate number. Upon making a payment, the Customer shall be prompted to create a registered account and user name/password.

General information shall be provided without requiring the Customer to log in:

1. General information about the Statewide Tolling Program.

2. FAQ.

3. Links to other WSDOT sites.

14.2.3 Commercial Transponder Accounts

The Vendor shall review **Commercial Transponder Accounts** to help keep them updated and reduce risk of no payment while improving customer service. Once a quarter, the Vendor shall contact all Commercial Transponder Accounts to update the information on file. Instructions on how to use Transponders, including how to register **Commercial Vehicle Information Systems and Networking** (**CVISN**) program Transponders, shall be provided if needed and any issues particular to that account will be discussed. Records of contact shall be maintained on the CSC System.

14.2.4 Customer Requested Services

Customers shall be able to request Vendor's account maintenance Services by walking in to customer service storefronts; or by email, phone, fax or mail.

The Vendor shall respond to the following types of requests as follows:

1. **Information Request**: The Vendor shall log the request, research the information as needed, and provide a response to the Customer.

2. **Review or Update Account Record**: The Vendor shall provide the following account record management Services:

    a) Check account status and recent activity

    b) Change account owner name

c) Change contact information

d) Add or remove vehicles, and/or report lost/stolen vehicle

e) Add or remove Transponders or other items to the account. A Transponder order shall be generated for new Transponder requests

f) Change replenishment method and/or report a compromised credit card or bank account

g) Change statement delivery method

h) Replenish prepaid balance

i) Make a payment

j) Record a dispute associated with a particular Toll Transaction, fee, Toll Bill, retail sale or other account charge.

3. **Close Account**: The Vendor shall close the account, process a **Refund Transaction** if applicable, and send a confirmation to the Customer in accordance with the Business Rules. Vendor shall close accounts and issue refunds in a timely fashion upon Customer request or if closed due to inactivity or in accordance with the Business Rules.

    Refunds shall be issued in the original form of payment. If the original form of payment was credit card, debit card or ACH, the Vendor shall reimburse the Customer's respective credit card, debit card, or ACH account.

    For all refunded payments made by cash or check, WSDOT will issue the refunds via a State warrant based on the account information provided by the Vendor.

    For a Refund Transaction associated with the closing of an account, the Vendor shall wait fifteen (15) Calendar Days prior to issuing the refund in order to allow time for any outstanding Toll charges to post.

    Refunds in an amount greater than $50 shall require the Vendor to obtain Approval from WSDOT prior to issuing the refund.

    The Vendor shall provide a weekly report to WSDOT on all Refund Transactions.

    The Vendor shall institute internal controls and audit over the refund process.

4. **Returns**: The Vendor shall accept merchandise returns in accordance with the Business Rules. Refunds for returned items shall be processed as described above and in accordance with Business Rules.

No refunds or returns shall be processed for items associated with an **Unregistered Transponder Account**.

*** End of Section ***

15 Transponder Management

15.1 Introduction

The Vendor shall provide Transponder management Services in support of Transponder-based tolling accounts. WSDOT shall purchase the Transponders. These Services shall include, but not be limited to, the following:

1. **Managing Transponder Inventory**: The Vendor shall be required to implement proper inventory management controls to ensure adequate supply to meet Customer demand. The Vendor shall be responsible for notifying WSDOT when inventory requires replenishment, keeping in mind lead time from suppliers.

2. **Fulfilling Transponder and Other Retail Item Orders**: The Vendor shall fulfill and mail orders received from Customers efficiently and accurately.

3. **Distribution of Transponders and Other Retail Items**: The Vendor shall distribute inventory to all walk-in sales locations across the State and ensure adequate inventory at all times.

It is anticipated that approximately 550,000 Transponders will be initially distributed by the Vendor prior to Tolling Commencement based on Customer incentives that will be offered by WSDOT. For the year after Tolling Commencement, it is anticipated that an additional 350,000 Transponder would be distributed. The Vendor shall be responsible for the timely Transponder order fulfillment during the initial ramp up and ongoing Operations after Tolling Commencement.

The Vendor shall detail their approach to meeting this level of anticipated demand for Transponders in a Transponder Distribution Plan. The plan shall be submitted to WSDOT for review and Approval.

The Vendor may be requested to sell other retail items to be determined in the future.

15.2 Requirements

The Vendor's Services shall meet the following functional Requirements as described below.

15.2.1   Transponder Procurement

At a minimum, but not limited to, the following makes and models of Transponders and Transponder accessories shall be distributed by the Vendor:

1. **eGo**® Plus Sticker Transponder

2. eGo® Flat Pack Transponder

3. eGo® License Plate Transponder

4. eGo® **Transponder Disabling Device**

5. ASTM Version 6 Transponder

WSDOT will negotiate with, and purchase Transponders from, the Transponder suppliers under a separate contract. The Vendor shall sell the Transponders to the public. The cost of the Transponder to the Customer shall be established by WSDOT.

Transponder sales revenue shall be accounted for as specified by WSDOT.

WSDOT may, in the future, issue a single competitive procurement for one or more third-party retail authorized resellers to sell Transponders. The authorized resellers would each establish a separate contract with the Transponder manufacturer, then initiate purchases, receive, test, manage, and distribute Transponders, and directly pay invoices and sales tax. The Vendor's Contract would proceed independently.

15.2.2   Transponder Inventory

The Vendor shall have control of, and responsibility for, the integrity of the Transponder inventory from the time that the Vendor's authorized representative takes delivery of Transponder shipments.

Inventories of all Transponder types shall be maintained by the Vendor as needed to satisfy Customer demand.

The Vendor shall track all Transponder history for the full Transponder lifecycle, including return and reissue, through disposal.

Transponder returns and replacements shall be handled in accordance with the Business Rules.

The Vendor shall record the movement of Transponders between each Transponder sales location and shall incorporate restrictions to only permit movement between appropriate Transponder sale locations.

Transponder inventory records shall automatically be updated by the Vendor as Transponders are issued to Customers, returned by Customers or as other System functions are performed that impact inventory.

The Vendor shall implement a Transponder Quality Control process to ensure that all Transponders received from suppliers are working before being placed into inventory. All Transponders shall be tested upon receipt from suppliers. Defective Transponders shall be returned to the supplier by the Vendor.

The Vendor shall be responsible for the security of the Transponder inventory. The Vendor shall not be reimbursed for Transponders that are missing, lost, or stolen from the Transponder inventory under its control.

15.2.3   Order Fulfillment and Distributions

The Vendor shall distribute the Transponders(s) to the appropriate Customer. This will be done either in person at store front locations, mobile events, by mail or at optional retail outlets.

The Vendor shall ensure the correct correlation between account and Transponders issued to that account.

The Vendor shall implement processes to ensure the Transponder class matches that recorded in the Customer database. Transponders shall be programmed by the Vendor with WSDOT classifications prior to issue. The Business Rules will define the Transponder classes.

Transponders either issued to Customers in person or delivered to Customers via mail shall include the WSDOT Approved welcome package, Customer agreement, installation instructions and receipt in the package.

The Vendor shall securely distribute Transponders to all walk-in Transponder sale locations. The Vendor shall ensure that adequate numbers of Transponders are available to meet Customer demand at all walk-in Transponder sale locations.

Transponder(s) shall be issued to walk-in Customers once an account has been opened and payment processed.

Transponders delivered to Customers shall be sent by first class mail.

The Vendor shall propose Quality Controls to ensure the correct Transponder is mailed to the correct Customer.

The Vendor shall supply the WSDOT Approved Customer welcome package, radio frequency (**RF**) shield, and all required mailing material.

The Vendor shall pay for all postage associated with mailing Transponders to Customers.

Distribution of Transponders for Non-Revenue Transponder Accounts shall require WSDOT or authorized management approval.

15.2.4   Transponder Performance Monitoring

The Vendor shall develop a Transponder performance monitoring program.

The Vendor shall monitor Transponder performance and lifetime for different batches and versions of Transponders. The monitoring program will track requests for replacement Transponders by individual Registered Transponder Accounts.

The Vendor shall develop projections of Transponder performance failures and balance Customer impact with cost in the development of a Transponder replacement program.

In the event of a manufacturer-initiated Transponder recall, a Transponder replacement notification shall be issued and Customers shall be informed of the replacement procedure.

The Vendor shall report monthly on Transponder performance monitoring activities and concerns.

*** End of Section ***

16 Toll Transaction Receipt and Validation

16.1 Introduction

The Vendor shall provide Toll Transaction receipt and validation Services for Transponder and Photo-Enforced Toll Transactions received from the Toll Transportation Facilities using the WSDOT Approved electronic interface as described in the System to System Interfaces Requirements.

Transaction receipt and validation shall primarily include the following Services:

1. **Receive Transactions**: The Vendor shall receive Toll Transactions sent from Toll Transportation Facilities and acknowledge whether the complete set of Toll Transactions was received.

2. **Validate Transaction Transmission**: The Vendor shall perform validation checks on Toll Transactions received from Toll Transportation Facilities.

3. **Resolve Missing and Invalid Transactions**: The Vendor shall coordinate with other WSDOT Toll Collection System suppliers and WSDOT personnel as needed to resolve any instance of missed or invalid Transaction transmissions.

4. **Store Transactions**: The Vendor shall store the raw Toll Transactions in the CSC System database for further processing as described in the Toll Transaction Processing Requirements.

16.2 Requirements

16.2.1 Transaction Receipt

The Vendor shall acknowledge all Transactions transmissions received by generating and transmitting to the appropriate Toll Transportation Facility an acknowledgement receipt as detailed in the Interface Control Document (**ICD**) for each Toll Transportation Facility.

The Vendor shall utilize a guaranteed transmission method that will enable an alert if Data is not received when expected.

16.2.2 Transaction Validation

Validation methods provided by the Vendor shall ensure duplicate Data is eliminated.

Validation methods provided by the Vendor shall support alerts of unusual or missing communications. The Vendor shall log all anomalies and their resolution, performing a manual review of such anomalies when necessary and noting any action taken to resolve the anomalies.

The Vendor shall provide reporting on Transaction receipt and validation, indicating the number of Photo-Enforced Transactions and (separately) the number of Toll Transactions received by Toll Transportation Facility, by date, as well as any errors, unusual or missing Data. Transactions that are rejected shall be reported on an exception report, including reason for rejection, and broken down by Toll Transportation Facility.

*** End of Section ***

17 Toll Transaction Processing

17.1 Introduction

The Vendor shall provide Toll Transaction processing for Photo-Enforced and Transponder Transactions received the Toll Transportation Facilities according to the Approved Interface Control Documents.

The Toll Transportation Facilities that allow Photo-Enforced Toll Transactions will utilize OCR and **Optical Plate Recognition** (OPR) to automatically "read" a license plate's characters and state from the images associated with a unique Photo-Enforced Toll Transaction. The "read" plate information will be included in the Toll Transaction record information sent to the CSC System.

In addition to determining characters and state, the OCR and OPR shall also determine respective confidence ratings for each Transaction. Determined confidence ratings shall also be included in the Toll Transaction record information sent to the CSC.

The images associated with all Toll Transactions shall be available from the Toll Transportation Facilities to support image review and Transaction processing.

The Vendor shall also apply the Toll rate to Toll Transactions. At the direction of WSDOT, the Vendor shall be responsible for the updating of vehicle Toll schedules for each of the Operational WSDOT Toll Transportation Facilities except for Toll Transportation Facilities that employ dynamic pricing algorithms. WSDOT will be responsible for the modification of any dynamic pricing algorithms deployed at individual Toll Transportation Facilities. It is anticipated the Toll rates will be updated at least once a year.

17.2 Requirements

The Vendor's Services shall meet the following functional Requirements as described below.

17.2.1   General Requirements

The Vendor shall perform the following minimum activities:

1.   Store Photo-Enforced and Transponder Transactions for processing.

2.   Screen each Photo-Enforced Toll Transaction received from the lanes to verify that the OCR identified license plate number meets a minimum confidence level of 90%.

3.   Validate that front and rear license plate numbers match and resolve any discrepancies. Provide exception information and reconcile Photo-Enforced Toll Transactions based on vehicle classification, images and other user configurable processing rules.

4.   Produce reconciled Photo-Enforced Toll Transactions.

5.   Manually review license plate images for Photo-Enforced Toll Transactions where the OCR confidence level is below the minimal threshold.

6.   Flag Photo-Enforced Transactions that contain images that are not readable by a human for disposition based on configurable processing rules.

7.   Match Transponder and Photo-Enforced Transactions by Toll Transportation Facility, lane, and time frame to identify potential duplicate Transactions using account information to match registered vehicle license plates with Transponder Transactions occurring within the same time frame and marking duplicative Transactions as invalid/duplicate based on user configurable rules to produce reconciled Transponder and Photo-Enforced Transactions.

8.   Automatically apply the correct Toll rate from the Toll schedule to Transponder and Photo-Enforced Transactions except for Toll Transportation Facilities that employ dynamic pricing algorithms. In the case of the latter, the applicable Toll rate shall be provided as part of the Toll Transaction.

9.   Post correct Toll amount for Transponder and Photo-Enforced Toll Transactions to the appropriate Transponder or Registered License Plate Account. If Transactions cannot be posted automatically due to communications outages or other issues, the Vendor shall be able to manually post Transactions to accounts.

10.   Match Customer-initiated Payments to Photo-Enforced Toll Transactions that are not associated with Registered License Plate Accounts. Perform disposition of unmatched payments in accordance with the Business Rules.

11.   Bill **Unregistered Photo-Enforced Toll** Transactions which cannot be matched to a payment within the time period from the Transaction occurrence per user configurable rules.

12.   Automatically track and update outstanding Unregistered Photo-Enforced Toll Transactions as they age through the System, including calculating and updating the status and amount due with associated fees and/or simple or compound interest charges. User configurable aging rules may vary by Transaction type, location, and other defined parameters.

17.2.2   Toll Rates

The Vendor shall automatically apply the correct Toll rate from the Toll schedule to Transponder and Photo-Enforced Toll Transactions when processed upon receipt from the Operational WSDOT Toll Transportation Facilities except for Toll Transportation Facilities that employ dynamic pricing algorithms. In the case of the latter, the applicable Toll rate shall be provided as part of the Toll Transaction. The Toll schedules for each Toll Transportation Facility may include separate Toll rates for time of Day and vehicles classifications based on axles, shape, vehicle occupancy, and/or purpose.

At the direction of WSDOT, the Vendor shall be responsible for the updating of vehicle Toll schedules for each of the Operational WSDOT Toll Transportation Facilities except for Toll Transportation Facilities that employ dynamic pricing algorithms. WSDOT will be responsible for the modification of any dynamic pricing algorithms deployed at individual Toll Transportation Facilities. It is anticipated the Toll rates will be updated at least once a year.

17.2.3   Transponder Toll Transactions

After automatically applying the correct Toll rate to the Transponder Toll Transactions based on the Toll rate schedule for the individual Toll Transportation Facility, the Vendor shall match and post the correct Toll amount for Transponder Toll Transactions to the appropriate Registered Transponder Accounts.

17.2.4   Photo-Enforced Toll Transactions

Photo-Enforced Toll Transactions shall include all Transactions with captured license plate images that do not have an associated valid Transponder read. After automatically applying the correct Toll rate to the Photo-Enforced Transactions based on the Toll rate schedule, the Vendor shall match and post the correct Toll amount for Transactions to the appropriate Registered License Plate Accounts.

After matching Photo-Enforced Tolls to Registered License Plate Accounts, the Vendor shall attempt to match and post the remaining Transactions to the appropriate Customer-initiated Payment within the time period from the Transaction occurrence per the user configurable processing rules.

If no match is initially found, the Photo-Enforced Toll Transactions shall be stored and re-checked against Customer-initiated Payments and accounts every 24 hours within the time period from the Transaction occurrence per the user configurable processing rules.

If no match is found within the time period from the Transaction occurrence per the user configurable processing rules and in accordance with the Business Rules, the Vendor shall acquire the name and address of the registered vehicle owner and generate a Photo-Enforced Toll Bill.

17.2.5   Acquire Name and Address

The Vendor shall obtain registered owner information for the purpose of identifying the registered owner of vehicles with outstanding Photo-Enforced Tolls, based on license plate number.

The Vendor shall establish an electronic Data interface with, and daily transmit license plate information for lookup to the State Departments of Licensing or Motor Vehicles as described in the System to System Interfaces Requirements.

The Vendor shall obtain registered owner information for vehicles registered in all 50 states in order to send Photo-Enforced Toll Bills and Notices of Infraction according to the Business Rules, as per the System to System Interface Requirements. The Vendor may use third-party sources of registered vehicle owner information to acquire the most current name and address of the owner.

Determination of states and Photo-Enforced Tolls for which registered owner information shall be obtained shall be based on user configurable rules. The Vendor shall work with WSDOT to develop and refine cost effective name and address acquisition strategies. The Vendor may use third-party information providers as appropriate for the purpose of identifying registered vehicle owners.

If the license plate lookup is successful, the Vendor shall update the Photo-Enforced Toll Transaction using the registered owner information.

The Vendor shall use the most current name and address available for the Customer.

17.2.6   Generate, Print and Mail Photo-Enforced Toll Bills

The Vendor shall automatically generate, print and mail Photo-Enforced Toll Bills per Washington State law and the Business Rules.

The CSC System shall support various billing cycles by Toll Transaction type, account type, Toll type, vehicle owner location, rental vehicles, and other defined parameters based on user configurable processing rules.

The CSC shall automatically determine the Toll Bill due date based on user configurable processing rules that may vary by Toll type, account type, selected payment type, and other defined parameters.

The number of Toll Bills sent to a Customer before a Notice of Infraction is issued shall be based on user configurable processing rules.

The information and text to be included on the Toll Bills shall be user configurable. WSDOT shall review and Approve the information and text on the Toll Bill.

The Toll Bills shall include, and be addressed to, the registered owner's name and address.

The Toll Bills shall include an image of the captured license plate that is clearly legible.

The Toll Bills shall include information about establishing a Registered Transponder Account.

The Toll Bills shall include the contact information for the CSC, including the website address to pay the Toll Bill online.

The Toll Bills shall include a detailed breakdown of the Toll charges and fees assessed, and the due date(s) to pay the Toll Bill before the fees escalate.

The Toll Bills shall include wording that an unpaid Toll Bill shall become a Notice of Infraction and note the potential consequences.

The Toll Bills shall include information on questioning or appealing the applicability of the Toll Bill to the owner of the vehicle.

The CSC System shall support the re-generation of one or a group of bills based on user request and user configurable processing rules.

The CSC System shall be able to include one or multiple Photo-Enforceed Toll Transactions on a single Toll Bill based on user configurable processing rules.

The format of the Toll Bills shall comply with all Washington State Laws and Regulations and shall be Approved by WSDOT.

The Vendor shall process any Toll Bill that is returned due to an incorrect address by annotating the Customer Toll Account to indicate the new address and resending the Photo-Enforced Toll Bill. If no correct Customer address is available, either through the post office or from the Departments of Licensing or Motor Vehicles, then the Vendor shall mark the Toll Transaction for disposition according to the Business Rules.

17.2.7   Generate, Print and Mail Notices of Infraction

The Vendor shall automatically generate, print and mail Notices of Infraction (NOI) per Washington State law and the Business Rules.

All NOIs shall require certification by State staff prior to issuance.

The CSC System shall support various noticing cycles by Toll Transaction type, account type, Toll type, vehicle owner location, and other defined parameters based on user configurable processing rules.

The CSC shall automatically determine the notice due date based on user configurable processing rules that may vary by Toll type, account type, selected payment type, and other defined parameters.

The information and text to be included on the NOI shall be user configurable. WSDOT shall review and Approve the information and text on the NOI.

The NOI shall include, and be addressed to, the registered owner's name and address.

The NOI shall include an image of the captured license plate that is clearly legible.

The NOI shall include the contact information for the appropriate Court, including information on how to settle the NOI.

The NOI shall include a detailed breakdown of the Toll charges and fees assessed, and the due date(s) to pay the Toll Bill before the fees escalate.

The NOI shall describe the consequences of an unresolved NOI.

The NOI shall include information on questioning or appealing the NOI.

The CSC System shall support the re-generation of one or a group of notices based on user request and user configurable processing rules.

The format of the NOI shall be user configurable to include multiple Transactions on a single NOI.

The Vendor shall process any NOI that is returned due to an incorrect address by annotating the Customer Toll Account to indicate the new address and resending the NOI. If no correct Customer address is available, either through the post office or from the departments of licensing or motor vehicles, then the Vendor shall mark the Toll Transaction for disposition according to the Business Rules.

The updated address information shall also be provided to the Courts via the system interface.

*** End of Section ***

18 Complaint Tracking and Resolution

18.1 Introduction

Customer complaints are feedback related to dissatisfaction with the Toll operation and/or customer service received. Complaints are separate from Toll charge disputes in that they are based on Services rendered, rather than Toll charges assessed. Toll charge disputes are handled under the dispute process.

The Vendor shall provide Services to track all Customer complaints related to Toll collection and customer service Operations. Complaints can be filed by the Customer through the website, customer service storefronts, CSC representative phone Services, and mail/email/facsimile. The Vendor shall be responsible for dispensation of Customer complaints submitted by way of mail, email, or facsimile.

The Vendor shall report to WSDOT on Customer complaints, support, comments, and other Customer feedback. Reporting shall allow WSDOT to track Customer complaints by specific departments, Facilities, or common issues.

18.2 Requirements

After receiving the Customer complaints, the Vendor shall provide the following required Services:

1. **Capture Complaint**: The Vendor shall create a log in the CSC System of all the Customer complaints received. The Vendor shall be responsible for updating the Customer's Toll Account regarding the nature of the complaint.

2. **Research**: The Vendor shall investigate the reasons behind the Customer complaint.

3. **Prepare Response**: The Vendor shall prepare a follow-up response for Customer complaints to be handled in the form of mail, email, or telephone contact. The Vendor shall update the Customer Toll Account stating the resolution to the complaint filed in accordance with the Business Rules.

4. **Send Response**: The Vendor shall respond to the Customer stating the outcome of the complaint filed.

The CSC System shall have the ability to support the creation of common and customized response letters and emails.

As part of ongoing measures to decrease complaints, the Vendor shall monitor Customer calls and other communications for Quality Control purposes and conduct semi-annual Customer satisfaction surveys to measure Customer satisfaction with the quality of service provided by the CSC.

*** End of Section ***

19 Dispute and Adjudication Support

19.1 Introduction

Disputes are the process by which Customers may challenge a Toll Transaction or Toll Bills and other charges to the Vendor or WSDOT staff. Adjudication is the process by which a Customer may appeal a Notice of Infraction to the appropriate local Court.

The adjudication process applies only to Notice of Infractions. Toll charges, other account fees and Notices of Infraction may be disputed by the Customer according to Washington State law and the Business Rules.

19.2 Requirements

19.2.1 Disputes

Upon receipt of a disputed Toll Transaction or Toll Bill from a Customer, the Vendor shall:

1. **Capture Dispute**: The Vendor shall accept disputes filed by Customers via phone, web, email, mail, fax or walk-in. The Vendor shall log all disputes. Each dispute shall be associated with an individual account. The Vendor shall be responsible for updating the Customer's Toll Account with the date the dispute was received, the Transaction number of the disputed charge or Toll Bill; any scanned or electronically submitted documents provided by the Customer; and the Customer's reason for the dispute, and maintaining the dispute record as resolution progresses.

2. **Research**: The Vendor shall investigate the reasons behind the Customer dispute. This shall involve, but not be limited to, reviewing images for disputed Transactions, checking for faulty equipment such as the Transponder battery life or lane equipment issues, and processing and forwarding complaints to the appropriate department or **Manager**, or to WSDOT according to the Standard Operating Procedures.

3. **Prepare Response**: The Vendor shall prepare a follow-up response for Customer dispute to be handled in the form of mail, email, or telephone contact according to the user configurable processing rules. The Vendor shall update the Customer account record stating the resolution to the dispute filed, in accordance with the Business Rules.

4. **Send Response**: The Vendor shall respond to the Customer stating the outcome of the dispute.

5. **Adjust Account**: The Vendor shall adjust the Customer's Toll Account in accordance with the Business Rules if the complaint resolution specified that the Customer's Toll Account be adjusted. Adjustments for disputed amounts greater than $50 shall be subject to WSDOT Approval. The System shall support a range of account adjustment options to correct or apply account charges, account payments, fees, or Toll Transactions based on user configurable processing rules.

If the Customer does not pay the disputed Toll Transaction or Toll Bill within the allowed timeframe after it has been researched and declared valid, the Transaction shall continue to "age" through the System and shall be assessed escalating fees and penalties in accordance with the Business Rules.

19.2.2   Adjudication Support

The Vendor shall provide the following required adjudication Services in support of the appropriate local Courts:

1.   **Transmitting NOI Information to the Appropriate Local Courts**: The Vendor shall electronically transmit the required NOI information to the appropriate local Court according to the Requirements of the Interface Control Document defined in Section 34 of the Scope of Work. Local Courts will be responsible for the NOI adjudication once the NOI is issued. The Vendor shall also transmit any updated address information for the Customer.

2.   **Returned Mail Service:** The Vendor shall provide updated registered owner information, when available, to the Courts for NOIs returned as undeliverable.

3.   **Preparing Evidence Documents in Support of NOI**: The Vendor shall prepare evidence documents for each appealed NOI in advance of the scheduled hearings and ensure that these documents are electronically delivered to the appropriate local Court.

4.   **Responding to Information Requests from the Courts**: The Vendor shall be the first point of contact for the Courts regarding any inquiries or requests regarding appealed NOIs.

5.   **Processing Payments from the Court**: The Vendor shall be responsible for processing all Toll charges, fees and penalty payments received from the Courts and updating Customer Toll Account and financial records. The updating of Customer Toll Account and financial records shall dependent upon the WSDOT Approved interface to the Courts as described in the System to System Interfaces section of the Scope of Work.

*** End of Section ***

20 Customer Service Storefront Services

20.1 Introduction

The Vendor shall establish, **Staff**, operate, and maintain walk-in customer service storefronts, and support mobile events.

20.2 Requirements

20.2.1 General

The Vendor shall establish, Staff, operate, and maintain three customer service storefronts:

One storefront located in West King County (west side of Lake Washington)

One storefront located in East King County (east side of Lake Washington)

One storefront in the Gig Harbor area

The Vendor shall identify the locations, Facility size, number of customer service windows, and anticipated parking demand for each Facility. The Facilities and locations shall be Approved by WSDOT prior to the Vendor obtaining a lease for such Facilities. The Vendor shall provide WSDOT with copies of certificates of occupancy.

In addition to the customer service storefronts, the Vendor shall also have mobile and temporary customer service capabilities for purposes of providing in-person customer service to the broader Puget Sound region. The mobile customer service unit(s) shall be a dedicated, fully equipped modern van-type vehicle branded with *Good To Go!* labeling. The mobile and temporary customer service units shall provide account opening Services, account maintenance Services, and respond to Customer inquiries. The Vendor shall provide all Staff for the mobile and temporary customer service units.

The Vendor shall be responsible for providing all furniture, fixtures, office supplies, power, Maintenance, Services, equipment, personnel, and other resources necessary to provide toll industry standard customer service storefront centers.

In addition to walk-up windows, the Vendor may optionally provide self-service Internet kiosks where Customers may access the customer service website.

The Vendor shall supply personnel with uniforms and identification badges that shall be worn by all Vendor customer service Staff during business hours.

The Vendor shall comply with the hours of operation as established for the Start-Up Phase and ongoing Operations in accordance with the Business Rules. The Vendor and its Staff shall comply with rules of conduct documented in the Standard Operating Procedures.

The Facilities provided by the Vendor under the Contract shall comply with and support Requirements of the Americans with Disabilities Act (ADA).

20.2.2   Services

The Vendor shall establish, Staff, start-up, and operate the customer service storefronts to provide in-person, walk-in Customer support. All customer service storefronts shall allow Customers to do at least the following:

1.   **Submit Account Application**: The Vendor shall accept completed account applications and provide assistance with completing the application. The Vendor shall open new accounts from the completed applications per the Account Establishment Requirements and the Business Rules. The Vendor shall provide a secure drop box at each walk-in customer service storefronts location for completed applications.

2.   **Update Account Information**: Upon request, the Vendor shall add, change or delete information related to a Customer's Toll Account, such as type of account, contact information, automatic replenishment method, add/remove vehicles, and other updates as described in the Account Management Requirements. The Vendor shall be responsible for ensuring Customer Toll Accounts are accurately updated with the new account information.

3.   **Request Information**: The Vendor shall provide information in response to inquiries regarding the general Program or information related to a Customer's Toll Account. The Vendor shall be responsible for providing accurate information that complies with current WSDOT policies provided to the Vendor and in accordance with the Business Rules.

4.   **Close Account**: The Vendor shall be responsible for closing the Customer's Toll Account upon request and processing any refund due per the Account Management Requirements and in accordance with the Business Rules.

5.   **Pay Photo-Enforced Tolls and Fees**: The Vendor shall accept payments for Photo-Enforced Tolls, Toll Bills and fees. All walk-in customer service storefronts shall be capable of accepting all forms of payment as defined in the Payment Processing Requirements and in accordance with the Business Rules.

6.   **Purchase/Test/Return Transponders**: The Vendor shall provide Transponders and other retail items for purchase, test potentially faulty Transponders for Customers, and process returned Transponders.

7.   **Submit Complaint**: The Vendor shall accept Customer complaints related to Toll Operations or customer service Operations/management. The Vendor shall comply with the complaint and tracking resolution procedures and Requirements for resolving such complaints.

8.   **Sign up for Discount Program**: The Vendor shall provide Program information and enroll eligible Customers in discount programs at the customer service storefronts.

*** End of Section ***

21 Customer Service Internet Services

21.1 Introduction

The Vendor shall provide Services to design, develop, implement, manage, and monitor the 24 hours per Day, 7 Days per week Customer Service Center website. The CSC website shall provide Customers with online service for remote access to general tolling information and Customer Toll Account Services.

The CSC website shall feature links to WSDOT traffic information and general tolling information.

Web pages related to account management, payment processing, and Transponder management shall only be accessible via a secure login to the Customer's Toll Account.

21.2 Requirements

21.2.1   General

The website shall include prominent links for contact information, privacy policy and opening a Toll account on each page.

The website shall include a "Frequently Asked Questions" page.

The website shall conform to Washington State accessibility guidelines prepared by the Information Services Board: http://isb.wa.gov/tools/webguide/accessibility.aspx

The website shall display and function properly on various types of web-enabled devices, including 11" or smaller laptop, smart phones, etc.

The website shall provide industry standard security and encryption for protection of Customer information, per the Security Requirements.

The Vendor may propose innovative uses of Customer interactive web technologies such as live chat, blogging, social networking sites, etc., to the extent that they improve Customer communications without detracting from other provided Services.

21.2.2   Customer Secure Login Services

The customer service website shall provide Customers with a convenient option to conduct customer service functions online.

In order to protect Customer privacy and payment information, the website shall provide a means for Customers to set up a unique, secure user name and password for accessing their account online.

The Vendor shall provide Services to allow Customers, at a minimum, to do the following upon logging in to their account:

1. **Submit Account Application**: The Customer shall be able to input online the required information for submitting a new account application which shall then result in the creation of a new account in accordance with the Business Rules and Account Establishment Requirements.

2. **View/Update Account Information**: The Customer shall be allowed to add, change or delete information related to their account such as contact information, automatic replenishment method, adding or removing Transponders, and adding or removing vehicles as described in the Account Management Requirements. The Customer shall be able to view current account information online such as contact information, vehicle information, assigned Transponders, replenishment method, account balance and usage, etc. These functions will be provided in accordance with the Business Rules.

3. **Request or Change Password**: The Customer shall be able to change their password, and be able to request a forgotten password through the use of security questions and/or emailing a temporary password, or other method.

4. **Request Information**: The Customer shall be able to request information related to the type of accounts available or information related to their existing account. The Vendor shall be responsible for processing online information requests for account information, discount programs, fees, and other items in accordance with the Business Rules.

5. **Close Account**: The Customer shall be allowed to request that their account be closed. The Vendor shall be responsible for closing the Customer Toll Account per the Account Management Requirements and in accordance with the Business Rules.

6. **Pay Photo-Enforced Tolls and Fees**: The Vendor shall accept payments for Photo-Enforced Tolls, Toll Bills and fees. Photo-Enforced Tolls and Toll Bills shall be searchable by license plate number without requiring the Customer to first set up a user name and password. The Vendor's website shall accept the forms of payment defined in the Payment Processing Requirements and in accordance with the Business Rules.

7. **Purchase Transponders and/or Other Items**: The Customer shall be able to securely purchase Transponder(s) and other retail items via the website. The Vendor shall be responsible for fulfilling these orders per the Transponder Management Requirements and in accordance with the Business Rules.

8. **Submit Disputes and Complaint**: Customers shall be able to file a dispute or complaint related to Toll Operations or customer service Operations/management through the customer service website. Customers shall be able to request the follow-up method. The Vendor shall handle complaints and disputes per the dispute and complaint Requirements and in accordance with the Business Rules.

21.2.3   Other Required Services

In addition to the secure login access functions, the Vendor shall provide Customer access, at a minimum, to the following without the necessity of a secure Customer login:

1. **Submit Complaint or Dispute**: Customers shall be able to file a complaint or dispute through the customer service website. Customers shall be able to request the follow-up method. The Vendor shall handle complaints and disputes per the dispute and complaint Requirements and in accordance with the Business Rules.

2.   **Email CSC**: Customers shall be able to send an email to the CSC though the website. The CSS System shall support the transmission of email attachments or document images (in PDF, JPEG, TIF, and common word processing or spreadsheet file formats) to the CSC by Customers based on user configurable parameters. The Vendor shall handle all Customer email correspondence as specified in the Mail Processing Management Requirements and in accordance with the Business Rules.

3.   **View General Info**: Customers shall be able to view general information through the website to obtain information on *Good To Go!*, Toll rates by Toll Transportation Facility, and other general CSC information.

*** End of Section ***

22 Customer Service Representatives Phone Services

22.1 Introduction

The Vendor shall provide customer service representative phone Services to allow Customers who call the CSC during business hours to speak with a customer service phone representative.

The option to speak with a customer service representative shall be the last option in the interactive voice response (IVR) menu.

Customer service phone representatives shall be trained and equipped to address inquiries related to account establishment, account management, payment processing, Transponder management, other retail item management, and complaint tracking and resolution.

The Vendor shall prepare call center procedures and scripts for all customer service representatives to use. The Vendor shall also train all employees on the call center procedures and scripts. WSDOT shall have final Approval of all scripts.

The Vendor shall provide all customer service phone representative equipment, including the phone system, call center management Software and hands-free devices.

The CSC call center shall be located in Washington State.

22.2 Requirements

The Customer Service phone representative shall provide Services and capture Customer information for at a minimum the following:

1. **Establish New Account**: The Vendor shall establish new accounts for Customers by phone per the Account Establishment Requirements and in accordance with the Business Rules.

2. **Update Account Information**: The Vendor shall add, change or delete information related to the Customer's Toll Account such as contact information, automatic replenishment method and adding or removing vehicles as described in Section 6. The Vendor shall be responsible for ensuring Customer Toll Accounts are accurately updated with the new account information per the Account Management Requirements and in accordance with the Business Rules.

3. **Request Account Information**: The Vendor shall provide information in response to inquiries regarding tolling or information related to a Customer's Toll Account. The Vendor shall be responsible for providing accurate information that complies with current WSDOT policies provided to the Vendor and in accordance with the Business Rules.

4. **Account Closure**: The Vendor shall be responsible for closing the Customer's Toll Account upon request and processing any refund due per the Account Management Requirements and in accordance with the Business Rules include the sending of an account closure forms for signature by the Customer.

5. **Pay Photo-Enforced Tolls and Fees**: The Vendor shall accept payments for Photo-Enforced Tolls, Toll Bills and fees. The forms of payment to be accepted

are defined in the Payment Processing Requirements and in accordance with the Business Rules.

6. **Purchase Transponders and/or Other Retail Items**: The Vendor shall accept Transponder and other item orders via phone and update the Customer's Toll Account with the new Transponders. The Vendor shall be responsible for fulfilling these orders per the Transponder Management Requirements and in accordance with the Business Rules.

7. **Submit Complaint or Dispute**: The Vendor shall accept Customer complaints and disputes. The Vendor shall handle complaints and disputes per the dispute and complaint Requirements and in accordance with the Business Rules.

*** End of Section ***

23 Automated Customer Service Phone Services

23.1 Introduction

The Vendor shall provide automated customer service phone Services. The Vendor shall establish Customer Service automated phone Services to allow Customers to update their accounts and receive information via an interactive voice response (IVR) system.

Services related to account management, payment processing, Transponder management, and other retail item management shall be handled through the automated customer service phone Services. Additionally, the Vendor shall provide pre-recorded IVR scripts that allow Customers to hear general tolling and customer service information.

23.2 Requirements

23.2.1   Services

The Vendor shall provide the following automated phone Services at a minimum:

1.   **Update Account**: The Customer shall be allowed to add, change or delete information related to their account including contact information and payment method as described in Section 6. The Vendor shall be responsible for ensuring Customer Toll Accounts are properly updated with the new account information in accordance with the Business Rules.

2.   **Request Account Information**: The Customer shall be able to request information related to their existing account including balance inquiries, posted payments, and recent Transactions.

3.   **Make a Payment**: Customers shall be able to make a payment to their existing account via the automated phone Services. The automated phone service shall accept the methods of payment defined in the Payment Processing Requirements and in accordance with the Business Rules.

4.   **Purchase Transponders and/or Other Retail Items**: The Customer shall be able to purchase Transponder(s) and/or other items for an existing account through the automated customer service phone Services. The Vendor shall be responsible for fulfilling these orders per the Transponder Management Requirements and in accordance with the Business Rules

5.   **General Information Request**: The Customer shall be able to utilize the automated customer service phone Services to obtain general recorded information on *Good To Go!*, Toll rates by Toll Transportation Facility, and other general CSC information.

Customers with inquiries not covered by the automated Services shall have the option to be routed to live customer service phone representatives.

All IVR script content shall be subject to WSDOT review and Approval.

23.2.2   Systems

The automated customer service phone Services system capabilities will provide for:

1.   Automatic call distribution

2.   Website click-to-call

3.   Screen pop-ups of caller account information on agent desktops

4.   Automated call backs

5.   Estimated wait time/place in queue information

6.   Inbound self service options

7.   Automated account alerts and other outbound notification calls

8.   Automated inbound and outbound surveys

For information purposes, the WSDOT statewide telecommunications is built on the Avaya Communication Manager (**ACM**) infrastructure architecture. These telecommunication systems are server-based and enable Voice over Internet Protocol (**VoIP**) to allow full VoIP convergence. Internally, WSDOT requires that all telecommunications equipment to be compatible with the Avaya IP environment. All WSDOT voice systems are connected statewide via a spoke and hub topology that allows Services like Quality of Service (QOS) and Multicast (MC) to be used to provide the best Voice and Video quality possible.

WSDOT has integrated its call center applications within the ACM system. The components of the ACM system include: Elite agent Automatic Call Distribution (ACD) Software, Application Enabled Services (AES) for Computer Telephony Integration (CTI) functionality, Avaya Interactive Response (IR) or Interactive Voice Response (IVR) systems, Call Management System (CMS) for detailed real-time and historical call center reporting, and Witness call recording. Skills based routing with sophisticated vector programming is utilized in the ACD to queue and route calls and provide centralized call control for the entire duration of a call.

23.2.3   511 IVR Integration

WSDOT provides automated access to traffic, road condition, mountain pass and weather information through the 511 Travel Information System. The 511 system also provides the option to connect to the Washington State Ferries (WSF) Information Line for automated access to information and to connect to information agents for ferry reservations. The 511 system will also provide the ability to transfer to select transit agencies and adjacent states 511 systems.

The 511 Travel Information System consists of an automated speech recognition application developed by Interactive Northwest, Inc. deployed on three Avaya IR platforms located in Olympia and Seattle. The 511 system provides a logical access point for telephone contact to the WSDOT Tolling Statewide CSC.

The 511 system would provide an additional access point for telephone contact to the Statewide CSC. Integration and interoperability between the 511 system and the CSC

shall be defined by the Vendor and shall be Approved by WSDOT prior to Implementation.

23.2.4   HERO Call Forwarding

The HERO Program enables drivers to report **HOV** occupancy violators via phone or email. WSDOT then sends educational materials about HOV lane usage to the registered owner of the vehicle reported violating the occupancy requirement. It is anticipated that HERO reporters will occasionally mistakenly call the *Good To Go!* customer service phone line instead of the HERO line. The IVR shall include a lower-level phone tree option to automatically forward the caller to the HERO line (1-877-764-HERO).

*** End of Section ***

24 Mail Processing Management

24.1 Introduction

The Vendor shall provide mail processing Services for all incoming and outgoing mail related to customer service and Toll Operations. The Vendor shall establish a mail processing center that will manage all mail related to receiving, printing and sending all Customer bills, notices, statements, payments, and general correspondence.

The mailing address for the CSC shall be in Washington State. The mail processing center shall be located within the greater Seattle area to provide next Day delivery to and from almost all Customers.

The Vendor shall adhere to all Federal and State statutes and regulations relating to the privacy and security of mail.

24.2 Requirements

The required Services provided by the Vendor shall include:

1.   **Sending Mail**: The Vendor shall be responsible for sending all bills, notices, statements, and other general correspondence to Customers. The Vendor shall not send any materials to Customers that are not Approved by WSDOT.

2.   **Retrieving Mail**: The Vendor shall be responsible for retrieving the daily mail sent to the CSC mailing address.

3.   **Sorting Mail**: The Vendor shall be responsible for sorting and logging all mail received and routing it to the appropriate department such as returned mail, payments, or correspondence.

The Vendor shall be responsible for sorting mail into three categories: Returned Mail, Payments, and Correspondence.

1.   **Returned Mail**: The Vendor shall process a mailed item that is returned due to an incorrect address by annotating the Customer Toll Account to indicate the new address and resending the item. If no correct Customer address is available, then the Vendor shall mark the mail for disposition according to the user configurable rules.

2.   **Payments**: All mail related to payments will be recorded and processed per the Payment Processing Requirements.

3.   **Correspondence**: All mailed correspondence that is not returned mail or payments shall be logged and scanned. Scanned documents shall be linked to a specific account or Transaction. The Vendor shall be responsible for responding appropriately and in a timely fashion to all Customer correspondence in accordance with the Business Rules. The CSC System shall have the ability to support the creation of common and customized response letters and emails. WSDOT shall review and Approve common responses.

25 Payment Processing

25.1 Introduction

The Vendor shall provide Services to process payments received via the customer service storefronts, automatic replenishment, internet, phone, mail, and secure facsimile.

The Vendor shall provide Services to accept payments and process adjustments for, but not limited to, Customer-initiated Payments, Prepaid Account balances, Photo-Enforced Tolls, account replenishment, Transponders, other items for purchase, and fees per the user configurable processing rules and in accordance with the Business Rules.

The Vendor shall automatically initiate replenishment payments for accounts with automatic replenishment when Prepaid Account balances are less than the established account balance thresholds per the user configurable processing rules and in accordance with the Business Rules. The Vendor shall monitor Prepaid Account balances, replenishment amounts, and thresholds to minimize the number of replenishments and resulting bank fees.

The Vendor shall provide the following flexibility to Authorized Users in accepting and processing payments from Customers:

1.   Apply a single payment to a single account.

2.   Apply a single payment to multiple accounts.

3.   Apply partial payments to single or multiple accounts.

4.   Support the use of multiple payment methods (such as cash and check) for a single payment.

5.   Apply a Customer-initiated Payment for a Photo-Enforced Toll or other fees from Toll Transportation Facility users who do not have an established Customer Toll Account.

6.   Reverse or transfer a payment from one account to another.

7.   Reverse/refund overpayments.

Account fees and credits shall be applied by the Vendor per the user configurable processing rules and in accordance with the Business Rules.

The Vendor shall develop and adhere to applicable Washington State mandated and internal Vendor controls for all payment processing activities.

25.2 Requirements

25.2.1   General Requirements

The Vendor shall process all payments in accordance with the Business Rules established by WSDOT following user configurable processing rules.

The Vendor shall apply payments to the correct Customer Toll Accounts as they are entered into the System based on user configurable processing rules. Balance,

Transponder and account status shall update automatically as items are processed in the CSC System. A process shall be established and followed to ensure payments are processed correctly. If an error occurs, the Vendor shall follow up immediately to correct the error and collect any unpaid funds.

The CSC System shall provide confirmation when payments are successfully made or account record updated.

A unique confirmation number shall be associated with each payment. This number shall be provided to the Customer on their receipt, or via email if the payment is made by phone or web.

The Vendor shall be responsible for all funds until the deposit has been verified by the bank.

The Vendor shall anticipate daily interactions with WSDOT staff regarding payment processing matters.

The Vendor shall operate in accordance to the confidentiality Agreement with WSDOT. The Vendor shall certify that it follows all Requirements and security measures dictated by the Payment Card Industry Data Security Standard (PCI DSS) rules and laws. The Vendor shall update the database when and if necessary to meet these Requirements.

The Vendor shall notify WSDOT immediately should there be a loss of Customer Data or Customer financial Data.

The Vendor shall implement and follow internal audit controls that will play an important part on cash handling of service center employees. Security cameras shall be installed and be Operational at all times where cash is processed.

25.2.2   Forms of Payment

The following forms of payment shall be accepted (in U.S. Currency) from all walk-in Customers:

1.   Cash

2.   Automated Clearing House (ACH) payments (e.g., direct debit)

3.   Credit and Branded Debit Cards

4.   Debit Cards (with **PIN**)

5.   Money Order

6.   Cashier's Check

7.   Traveler's Check

8.   Similar Guaranteed Drafts

9.   Check

10.   Electronic Benefits Transfer (EBT)/PIN (customer service storefronts only)

The following forms of payment will be accepted via mail:

1.   Cash (while Customers will be told not to send cash by mail, if and when cash is received, special measures will need to be implemented and followed)

2.   Credit and Branded Debit Cards

3.   Money Order

4.   Cashier's Check

5.   Traveler's Check

6.   Similar Guaranteed Drafts

7.   Check

The following forms of payment shall be accepted (in U.S. Currency) via secure facsimile:

1.   Automated Clearing House (ACH) payments (e.g., direct debit)

2.   Credit and Debit Cards

The following forms of payment shall be accepted (in U.S. Currency) via the website, interactive voice response system, and customer service representative phone Service:

1.   ACH Set Up

2.   Credit and Debit Cards

Note that the preferred form of payment is ACH.

25.2.3   Credit and Debit Card Requirements

The Vendor shall accept and process labeled credit (MasterCard, Visa, American Express, and Discover) and debit cards. PIN based debit cards shall be accepted from walk-in Customers only.

The Vendor shall accept non-PIN payment cards for auto-replenishment payments.

The Vendor shall use the Washington State-contracted credit card processor for processing and settling these payments. Currently:

1.   The Washington State-contracted credit card, PIN debit card and EBT processor is Bank of America.

2.   CyberSource shall be used for payments made via the website.

3.   Vital shall be used for payments made via the customer service storefronts, phone center, mail/fax and auto-replenishment.

WSDOT will be responsible for all credit card/debit card payment processing service fees. The Vendor shall provide information as requested from WSDOT to verify the fees charged.

The Vendor shall respond to charge-back inquiries from credit card companies.

The Vendor shall comply with Payment Card Industry Data Security Standard (PCI DSS) for all credit and debit card payment processing. The Vendor shall obtain required PCI DSS certification and contracted independent Vendor scan to be completed in a timely

fashion and submitted immediately to WSDOT upon completion. Any fines from the Vendor's failure to comply with PCI DSS are the responsibility of the Vendor.

25.2.4   ACH Requirements

The Vendor shall accept and process ACH as a form of payment.

The Vendor shall accept ACH for auto-replenishment payments. The Vendor shall support the use of pre-notification ("prenote") process for validating Customer Toll Account information provided for ACH replenishment payments based on user configurable processing rules.

The Vendor shall support the use of a pre-notification ("prenote") process for validating Customer Toll Account information provided for ACH replenishment payments.

The Vendor shall accept one-time ACH payments.

The Vendor shall provide an electronic interface to the Washington State Treasurer's Office system for processing these payments.

The Vendor shall be responsible for processing notifications of change, ACH returns, charge-backs and other adjustments, as needed.

The Vendor shall comply with all ACH rules. Any fines resulting from the Vendor's failure to comply with ACH rules are the responsibility of the Vendor.

WSDOT will be responsible for all ACH payment processing Services fees. The Vendor shall provide information as requested from WSDOT to verify the fees charged.

The Vendor shall produce an Electronic Payments Association (**NACHA**) formatted ACH file that will be transmitted to the Office of State Treasurer (**OST**) for processing by WSDOT's concentration bank.

The electronic interface used by the Vendor to transmit ACH files to the Office of the State Treasurer (OST) shall be over the **DIS** secure file transfer (**SFT**) server.

The Vendor shall accept notification of ACH returns and notification of change (**NOC**) entries electronically as a NACHA formatted returns files.

The Vendor shall follow up on all ACH returns to collect the funds with another form of payment. If the Customer does not respond after follow up, then the Vendor will not be responsible for the loss, unless the payment rejection was caused by the Vendor's negligence.

ACH transmissions shall be processed daily for all accounts that reach the automatic replenishment threshold. All other ACH Transactions will be processed in real time.

25.2.5   EBT/PIN Debit Card Requirements

The Vendor shall accept and process EBT and PIN debit cards as a form of payment only at customer service storefronts.

The Vendor shall use the Washington State-contracted EBT/PIN debit card processor for processing and settling these payments, currently Bank of America.

WSDOT will be responsible for all EBT/PIN Debit Card Payment Processing Services fees.

25.2.6   Check Processing Services

The Vendor is not required to use a third-party check processing service to process check payments received at the customer service storefronts or through the mail.

25.2.7   Interagency Payment Processing Services

An **Interagency Payment** (IAP) is an automated payment method that electronically transfers funds from one state agency to another state agency using treasury accounts; IAP is the preferred method for state agency toll transaction payments.

The Vendor shall apply the IAP payments to the appropriate individual tolling Transactions upon notification from WSDOT that such payments have been received by WSDOT.

25.2.8   Debt Collection Services

The Vendor is not required to use any third-party debt collection services.

25.2.9   Lockbox Services

The Vendor is not required to use any third-party lockbox services.

If the Vendor elects to use a third-party lockbox service, the Vendor shall use the current Washington State-contracted lockbox services provider.

The Vendor shall be responsible for the associated lockbox services fees.

25.2.10   Payment Deposit Requirements

The Vendor shall ensure the accuracy of all payment deposits.

The Vendor shall deposit all cash, check and credit funds to the designated account(s) based on user configurable Business Rules.

The Vendor shall deposit all funds to the appropriate WSDOT designated bank(s) or financial service(s) within 24 hours of receipt. The Vendor shall provide all deposit supplies. Concentration banking services are currently provided by the Bank of America.

WSDOT will pay for all banking services fees.

The Vendor shall engage an armored car service for the secure transfer of received funds from the customer service storefronts and mail processing center to the depository bank.

On a daily basis, the Vendor shall provide a copy of the deposit back up documentation to WSDOT. Additionally, the Vendor shall keep a soft and hard copy of each deposit filed for audit and review.

25.2.11   Photo-Enforced Toll Payments

The Vendor shall accept and process Photo-Enforced Toll payments that are initiated by Toll Transportation Facility users before a Toll Bill is issued and payments that are made

after a Toll Bill is issued per the Payment Processing Requirements and the Business Rules.

If the Customer overpays the amount due and the amount cannot be refunded electronically (via a credit card or ACH refund), the Vendor shall open a Registered License Plate Account with the balance of the remaining funds and notify the Customer. A refund check for the overpayment shall be issued upon the requested by the Customer.

25.2.12   Customer-Initiated Payments

The Vendor shall accept and process Customer-initiated Prepayment of Photo-Enforced Tolls per the Payment Processing Requirements and the Business Rules.

After a configurable period of time, if the Customer's Toll Transportation Facility usage has not been sufficient to debit the prepaid amount in full, and the amount cannot be refunded electronically (via a credit card or ACH refund), the Vendor shall open a Registered License Plate Account with the balance of the remaining funds and notify the Customer. A refund check for Customer-initiated Payments shall not be issued unless requested by the Customer.

*** End of Section ***

26 Sales Tax

26.1 Introduction

Sales tax rates in Washington vary through out Washington by tax location code as established by the Washington State Department of Revenue. For mailed items, such as Transponders, sales tax shall be calculated and collected based upon the jurisdictional rate in effect where the item is being shipped ("destination based").

The Vendor shall calculate and collect destination-based sales tax on all Transponder and other retail items sales in accordance with Washington State Laws and Regulations.

The Vendor shall provide sales tax collections information by tax location code via an electronic interface to the WSDOT financial system.

Because tax rates change frequently, the CSC System to calculate sales taxes shall be configurable to accommodate adjustments in tax rates by destinations.

26.2 Requirements

The Vendor's System shall:

1.   Record the correct sales or other tax from Customers based on user configurable rules that may vary by item, location, date, and other defined parameters.

2.   Deposit sales tax or other taxes collected from Customers to the designated WSDOT bank account based on user configurable rules.

3.   Automatically report sales tax or other tax amounts to the WSDOT based on user configurable processing rules.

4.   Automatically generate general ledger entries to reflect sales tax charged, based on user configurable processing rules.

*** End of Section ***

27 Collection Support

27.1 Introduction

Washington State has an existing contract with a collections agency for the collection of outstanding debts owed to the State. That existing contract will be used at the discretion of WSDOT for the collection of delinquent Toll accounts.

27.2 Requirements

The Vendor shall provide Services to support efforts by WSDOT and its partners to collect delinquent Tolls, fees and fines. WSDOT will provide the Vendor with contact information and procedures for forwarding delinquent account information to the collections agency.

The Vendor shall respond to requests for information from the collections agency regarding delinquent accounts in a timely manner.

The Vendor shall process payments received from collections agency per the Requirements for payment processing.

*** End of Section ***

28 Financial Accounting

28.1 Introduction

The Vendor shall account for all Transactions processed by and activities of the CSC according to Generally Accepted Accounting Principles (GAAP), including Governmental Accounting Standards Board (**GASB**) pronouncements. Vendor Operations shall include internal controls designed to provide reasonable assurance of the achievement of effective and efficient Operations, reliable financial reporting, and compliance with applicable Laws and Regulations.

Each invoice submitted to WSDOT shall include a statement signed by the Accounting and Financial Manager certifying that the CSC System and Services provided under the Contract are in compliance with GAAP and the financial and accounting Requirements of the Contract.

The Vendor's CSC System shall include both general and subsidiary ledgers to appropriately account for all Transactions and activities with a fiscal impact. The Vendor's financial System will serve as WSDOT's subsidiary ledger for CSC Operations and tolling activity. All CSC processed Transactions and activities with a financial impact shall be posted to the CSC general ledger, as processing occurs in real time.

WSDOT will have direct access to execute certain authorized Transactions within the CSC subsidiary accounting System, to be defined by WSDOT (e.g., write-off of accounts, approval and release of Customer refund payments, etc.).

28.2 Requirements

28.2.1   General Requirements

The Vendor and Vendor's CSC System shall meet the following general Requirements for accounting and internal control:

1.   Comply with Generally Accepted Accounting Principles (GAAP), including Governmental Accounting Standards Board Requirements (GASB).

2.   Comply with WSDOT and Office of Financial Management (**OFM**) accounting policies, procedures and accounting treatment.
         http://www.ofm.wa.gov/policy/default.asp

3.   Prepare and provide timely and accurate financial information.

4.   Support accounting for CSC Transactions and activities with a fiscal impact using multiple self-balancing Toll accounts/funds according to State fiscal year/bienniums.

5.   Maintain custody over negotiable assets in a manner designed to prevent loss and abuse.

6.   Make daily transfers of negotiable assets to WSDOT designated custodians (banks or other institutions).

7.   Post CSC processed Transactions and activities with a fiscal impact to the accounting period in which the event occurred.

8.   Respond to requested changes in WSDOT Approved accounting policies, procedures, and treatment within ten (10) Business Days, adjusting and reclassifying activity as necessary.

9.   Conduct ongoing accounting reviews to ensure the accuracy of tolling events and other Transactions, bills, payments, and other items processed by the CSC and posted to accounts.

10.   Conduct reconciliations and other analytical reviews of general ledger account activity and balances based on quarterly risk assessment results and other monitoring tools to target review to the highest risk areas.

11.   Resolve errors and anomalies identified in analytical reviews within thirty (30) Calendar Days.

12.   Monitor Prepaid Account balances, replenishment amounts, and thresholds to identify potential fraud.

13.   Utilize automated internal controls (such as role based security instead of only organizational separation of duties) to minimize the risk of fraud and abuse.

14.   Provide trial balance and general ledger account detail reports as well as financial statements (balance sheet, income statement, and sources and uses of funds) for CSC processed Transactions monthly, by and across Toll Transportation Facility, account/fund, and using State fiscal years/bienniums.

15.   Provide WSDOT staff access to all accounting records (including risk assessment, analytical review, Transaction and other accounting reviews, and other internal and external audit results) related to CSC processed Transactions and activities with a fiscal impact.

16.   Work with WSDOT to define the financial information that shall be captured by the ledgers during Implementation.

28.2.2   Types of Financial Activities

The Vendor and the Vendor's CSC System shall account for all CSC processed Transactions and activities with a fiscal impact. The CSC System shall record all CSC processed Toll Transactions, Payment Transactions and activities with a fiscal impact at the detailed Transaction level within the financial period that the event occurred. Each Transaction shall include a unique identifier.

28.2.3   Financial Functions of the CSC System

This section documents Requirements for the financial functions of the CSC System which shall be integrated with the overall Vendor CSC System.

28.2.3.1   General Financial Functions of the CSC System

The Vendor's CSC System shall:

1.   Provide for user configurable processing rules by account type, Transaction type, payment method, account age, account violation status, and other defined parameters.

2.   Automatically generate double-entry bookkeeping entries for each CSC Toll Transaction or Payment Transaction with a financial impact.

3.   Immediately post the entries to appropriate general ledger accounts based on one or more charts of account with multiple chart fields (including account, fund, program, project, and organization, for example) and user configurable processing rules.

4.   Include the ability to have multiple self-balancing funds for tolling and other revenue based on user configurable processing rules.

5.   Support use of **Effective Dates** when generating general ledger entries based on user configurable processing rules.

6.   Automatically identify the source of all Transactions, including those generated by automated processes (such as billing) and Customer interaction based on user configurable processing rules.

7.   Track and edit against effective beginning and end dates for general ledger accounts and other chart of account elements.

8.   Ensure the general ledger and all subsidiary ledgers (such as accounts receivable and Toll events) within and across funds are in balance at all times.

9.   Support the use of multiple accounting years and associated months, quarters, and biennium based on user configurable processing rules.

10. Provide the ability to automatically roll forward year-end and biennium balances based on user configurable processing rules.

11. Automatically adjust period end balances when posting Transactions to a prior period based on Effective Dates and user configurable processing rules. Prior period adjustments will not be made after the fiscal year or biennium has been closed.

28.2.3.2   *Financial Activities*

The CSC System shall support the following for all financial activities:

1.   Provide automated and manual allocation of all financial activities to various accounts and programs (and other defined parameters that may vary by tolling event or financial activity) based on user configurable processing rules

2.   Automatically generate general ledger entries to reflect all financial activities at time intervals and by types and locations, distributing revenue to various fund, programs, and projects, and other defined parameters, based on user configurable processing rules.

3.   Automatically update amounts due from Customer Toll Account balances to reflect recorded financial activity based on user configurable processing rules.

28.2.3.2.1   Record Tolling Events

1.   Record general ledger entries for unique Photo-Enforced and Transponder Toll Transactions.

2.   Record unique Toll events based on location, time of day, Toll rate, lane, payment type, and other user configurable criteria.

28.2.3.2.2   Record Other Sales

1.   Record unique sale of Transponders and other retail items based on location, payment type, Vendor customer service Staff member, and other user configurable criteria.

2.   Record Transponder and other retail inventory based on sales, returns, and other activity and automatically record associated general ledger entries based on user configurable processing rules.

3.   Record the sale of Transponders and other retail items via Customer self-service and CSC Staff supported activities based on user configurable processing rules.

28.2.3.2.3   Record Fees

1.   Record fees, penalties and interest charged for various customer service activities or penalties based on location, payment type, Vendor customer service Staff member, and other user configurable criteria.

2.   Automatically update amounts due from Customers to reflect fees, penalties, and interest, based on user configurable processing rules and according to the Business Rules.

28.2.3.2.4   Record Sales Tax

1.   Record the appropriate, destination based sales or other tax from Customers based on user configurable processing rules that may vary by item, location, date, and other defined parameters.

28.2.3.2.5   Record Pre-paid Toll Account Activity

1.   Record use of various one-time and recurring replenishment methods, including credit and branded debit card, EBT, ACH, check, and cash for pre-paid Customer Toll Accounts based on user configurable processing rules.

2.   Record the charge/credit of prepaid Customer Toll Account balances for returned items, credits, and other payment adjustments based on user configurable processing rules.

3.   Record use of various replenishment thresholds for prepaid Customer Toll Accounts based on payment type, account status, or other user configurable criteria.

4.   Record automated adjustment of replenishment amounts for Customer Toll Accounts based on usage patterns, locations, account type, and other defined parameters based on user configurable processing rules.

5. Automatically identify and report out-of-balance Customer Toll Accounts (payments – sales ≠ account balance) based on user configurable processing rules.

28.2.3.2.6 Post Tolling Activity

1. Immediately post Toll and other administrative and usage fees to accounts based on user configurable matching criteria that may vary by account type, location, Toll type, and other defined parameters.

2. Automatically and immediately decrement prepaid amounts by Toll and other usage fees posted.

3. Automatically initiate replenishment when Prepaid Account balances are less than established thresholds after posting Toll events based on user configurable processing rules.

4. Allow authorized CSC Staff to add and adjust Toll sales charges from accounts, automatically creating the appropriate general ledger entry for the adjustment based on user configurable processing rules.

5. Record Toll Transactions held in suspense for designated accounts, account types, or accounts with a particular status, for example, based on user configurable processing rules.

6. Support recording Customer "deselection" of automated replenishment from accounts without impacting the current or historical status of account Transactions based on user configurable processing rules

28.2.3.2.7 Post Other Sales and Fees

1. Immediately post Transponder and other sales to accounts based on user configurable matching criteria that may vary by sale type, location, sale method, and other defined parameters.

2. Record charges to accounts for certain Services and processing fees based on user configurable processing rules in accordance with the Business Rules that may vary by account type, Customer type, service, location, Day, time of Day, and other defined parameters

3. Automatically record and immediately decrement prepaid amounts on accounts for Transponder and other sales and fees posted.

4. Automatically record initiated replenishment of prepaid Customer Toll Account balances that are less than established thresholds after posting Transponder and other sales and fees based on user configurable processing rules.

5. Record Authorized User additions, adjustments, and reversals of Transponder and other sales and fees to/from Customer Toll Accounts, automatically creating the appropriate general ledger entry for the adjustment based on user configurable processing rules.

6. Record automatic holds or suspensions of other fees for designated accounts, account types, or accounts with a particular status, for example, based on user configurable processing rules.

28.2.3.2.8   Receive Payments

1.   Support the receipt of payments by user configurable tender types.

2.   Automatically generate general ledger entries to reflect payments received at least at the deposit level (distributing cash to accounts receivable, revenue, or other general ledger account types, funds, programs, and projects, for example) based on user configurable processing rules.

3.   Automatically generate general ledger entries for payment reversals, adjustments, or Refund Transactions at the Payment Transaction level (re-distributing cash to accounts receivable, revenue, or other general ledger account types, funds, programs, and projects, for example; ensuring the reversal or adjustment exactly offsets the original entry) based on user configurable processing rules.

28.2.3.2.9   Apply Payments

1.   Automatically apply payments to accounts and Transactions based on user configurable matching criteria that may vary by payment amount, payment type, payment method, and other defined parameters based on user configurable processing rules.

2.   Apply payments to Transactions within accounts based on user configurable processing rules for the account and lines that may vary by the age of the activity, type of Transactions, and other defined parameters.

3.   Automatically recalculate account balances as a result of payment application, updating fees and interest due, where applicable, based on user configurable processing rules.

4.   Automatically generate general ledger entries to reflect payments applied, updated fees, and interest; distributing payments, fees, interest to accounts receivable; and distributing revenue to other general ledger account types, funds, programs, projects; and other defined parameters based on user configurable processing rules.

28.2.3.2.10   Receive NOI Payment Information from External Partners

1.   Accept and post information on NOI payments and other related settlements from various partners, including courts and collection agencies, based on user configurable processing rules.

2.   Automatically update the status of Customer Toll Accounts to reflect the receipt of payment or settlement information based on user configurable processing rules.

28.2.3.2.11   Identify and Manage Unpaid Amounts

1.   Automatically age unpaid fees and Tolls based on user configurable processing rules.

2.   Automatically calculate and apply penalties and interest to unpaid amounts based on user configurable processing rules that may vary by account type, balance owed, location, and other defined parameters

3.   Support different aging rules by fee and Toll type, jurisdiction, and other defined parameters based on user configurable processing rules.

4.   Automatically calculate an allowance for doubtful accounts based on user configurable criteria that may include aging, amounts due, Customer type, Transaction type, and other defined parameters.

5.   Support the ability for Authorized Users to write-off Transaction amounts and account balances based on user configurable processing rules that may vary by account type, dollar value, Transaction age, and other defined parameters.

6.   Support the ability for automatic write off of unpaid amounts based on user defined processing rules.

7.   Automatically generate general ledger entries to reflect penalties and interest, the allowance for doubtful accounts, and write-offs, distributing fees, interest, bad debt expense, and write-offs to accounts receivable, revenue, or other general ledger account types, funds, programs, and projects, based on user configurable processing rules.

28.2.3.2.12   Record Collections

1.   Include the capability to route unpaid amounts to WSDOT-designated collections agencies for action based on user configurable processing rules.

2.   Support the receipt and update of Customer Toll Account information, collection status, and payments from WSDOT-designated collections agencies based on user configurable processing rules.

28.2.3.2.13   Data to Support WSDOT Invoicing

1.   Support the generation of invoices to WSDOT for CSC Services based on stored Transaction history, performance Requirements, liquated damages and other variable factors, based on user configurable processing rules.

2.   Link monthly invoicing totals for various CSC activities and Services to the Transactions generating the fees based on user configurable processing rules.

3.   Support the manual addition and adjustment of invoice amounts by users based on user configurable processing rules.

*** End of Section ***

29 Reconciliation

29.1 Introduction

The Vendor shall provide Services to support daily reconciliation of all tolling and customer service financial activity. The Vendor shall ensure that traffic, Transactions, charges, deposits, adjustments, and posts to Toll Transportation Facility accounts are balanced and reconciled against each other to ensure the accurate financial accounting of Toll collection activities.

29.2 Requirements

29.2.1 General Requirements

All Vendor Transaction and account reconciliations shall meet the following general Requirements:

1. Support user configurable parameters and thresholds for reconciliation frequency, level of detail, exception identification, matching criteria, and other defined parameters.

2. Automatically validate and report the successful or unsuccessful completion of all automated reconciliations, notifying designated parties based on user configurable processing rules.

3. Provide capability to support reconciliation of activity for various periods of time by comparison of multiple Program indicators such as Transponder Transactions, Photo-Enforced Toll Transactions, traffic counts, violations, collections activity, and other available Data.

4. Vendor shall report the results of all reconciliations to WSDOT as required by the Contract.

5. Vendor shall work with WSDOT to detail the procedures and processes for reconciliation during Implementation.

29.2.2 Toll Transportation Facility Activity

The Vendor shall establish, operate, and maintain reconciliations with WSDOT Toll Transportation Facilities at least daily with daily, weekly, and monthly recaps. Reconciliation shall be automated to extent possible. The daily reconciliations with Toll Transportation Facilities shall meet the following Requirements processed in this order:

1. Provide separate control totals to verify the number of Transponder and Photo-Enforced Toll Transactions transmitted from each Toll Transportation Facility and associated lanes and received by the CSC based on user configurable parameters to be defined in the Interface Control Document. Where exceptions are identified, reconcile the file to ensure that each uniquely identifiable Transaction number is processed only once. The Vendor shall confirm that the CSC has received all Transponder and Photo-Enforced Toll Transactions.

2.   Match Transponder and Photo-Enforced Toll Transactions by Toll Transportation Facility, lane, and time frame to identify potential duplicate Transactions, using account information to match registered vehicle license plates with Transponder Transactions occurring within the same time frame and marking duplicative Transactions as invalid/duplicate based on user configurable processing rules to produce reconciled Transponder and Photo-Enforced Toll Transactions. The Vendor shall automatically report duplicate Toll Transactions by Toll Transportation Facility, lane, and time frame daily with a weekly and monthly recap for use in trend analysis and issue resolution.

3.   Match Toll Transportation Facility traffic counts by Toll Transportation Facility and lane to Transponder and Photo-Enforced Toll Transactions received by the CSC, reconciled with Transponder and Photo-Enforced Transactions transmitted from each Toll Transportation Facility, and adjusted for to duplicate Transactions. The Toll Transportation Facility traffic counts will be provided electronically by a third-party. Details of the interface are contained in Section 34 of the Scope of Work. The Vendor shall identify exceptions by Toll Transportation Facility, lane, time of Day, and other criteria based on user configurable processing rules. The Vendor shall compare exceptions to user configurable thresholds for discrepancies by Toll Transportation Facility, lane, time of Day and other available Data elements. The Vendor shall identify and report exceptions exceeding threshold levels to WSDOT daily. The Vendor shall work with WSDOT and other Toll Collection System suppliers to identify and correct the problems creating reported exceptions beyond established thresholds.

29.2.3   Toll Sales

The Vendor shall establish, operate, and maintain daily reconciliations for Toll sales for a user configurable sliding window multiple-Day period with a monthly recap. Reconciliation shall be automated to extent possible. The daily reconciliations for tolling sales shall meet the following Requirements:

1.   Match reconciled Transponder Transactions in total to daily Toll sales posted to accounts. The Vendor shall identify and resolve exceptions by reversing and adjusting Transactions or manually adjusting Transactions based on user configurable processing rules that may vary by exception type, Customer type, Transaction type, and other defined parameters. The Vendor shall verify that all exceptions have been resolved.

2.   Match daily reconciled Photo-Enforced Toll Transactions in total to Toll sales posted to accounts, sales pended for vehicle ownership information, sales pended for license plate image review, sales associated with unreadable images, sales pended for issuance of a Notice of Infraction, sales pended for collections, and other defined tolling sales across tolling sale dates based on user configurable processing rules. The Vendor shall identify and resolve exceptions by reversing and adjusting Transactions. The Vendor shall verify that all exceptions have been resolved.

3.   Automatically ensure that total counts for sales pended for vehicle ownership information, sales pended for license plate image review, sales associated with unreadable images, sales pended for issuance of a Notice of Infraction, sales pended for collections, and other defined tolling sales match pending Transaction queues across tolling sale dates based on user configurable processing rules. The Vendor shall identify and resolve exceptions by reversing and adjusting Transactions based on user configurable processing rules that may vary by exception type, Customer type, Transaction type, and other defined parameters. The Vendor shall verify that all exceptions have been resolved.

The Vendor shall establish, operate, and maintain automated reconciliations for tolling sales daily, weekly, monthly, quarterly, and annually that compare Toll and Photo-Enforced Toll Transactions to-date to tolling sales posted to accounts (Transponder or vehicle license plate based), sales pended for vehicle ownership information, sales pended for license plate image review, sales associated with unreadable images, sales pended for issuance of a Notice of Infraction, sales pended for collections, and other defined parameters based on user configurable processing rules. The Vendor shall identify and resolve exceptions by reversing and adjusting Transactions based on user configurable processing rules that may vary by exception type, Customer type, Transaction type, and other defined parameters. The Vendor shall verify that all exceptions have been resolved.

29.2.4   Other Sales and Fees

The Vendor shall establish, operate, and maintain automated reconciliations for other sales and fees daily with a monthly recap. The daily reconciliation for other sales and fees shall meet the following Requirements:

1.   Match total fees, penalties and interest charged, for example, to cash receipts and amounts posted to accounts, by fee type, account type, and other defined parameters based on user configurable processing rules.

2.   Match total other sales by type, location, remittance method, and other defined parameters to cash receipts and amounts posted against accounts based on user configurable processing rules.

The Vendor shall identify and resolve exceptions by reversing and adjusting Transactions based on user configurable processing rules that may vary by exception type, Customer type, Transaction type, and, and other defined parameters. The Vendor shall verify that all exceptions have been resolved.

29.2.5   Financial Institutions

The Vendor shall establish, operate, and maintain automated reconciliations with the Office of State Treasurer (OST) and OST identified partners for cash, check, EBT, ACH, credit card, branded debit card, and any other activity for cash equivalents (tender type) and related instruments daily with a monthly recap. The daily reconciliations with financial institutions shall meet the following Requirements:

1.   Match activity at the Transaction level by tender type and date based on user configurable processing rules.

2.   Include deposits, credits, Refund Transactions, returned items, other adjustments, and notifications of change, for example, based on user configurable processing rules.

3.   Triangulate the reconciliation of CSC cash account Transactions with financial institutions to account replenishment and other payment, credit, and **Adjustment Transactions** (posted, suspended, unprocessed, and other define parameters), ensuring that all cash account remittances have been posted as payments based on user configurable processing rules.

4.   Identify exceptions by Transaction and exception cause (Transaction identifier, date, dollar amount, positive or negative, type, account) and other defined parameters based on user configurable processing rules.

5.   Allow Authorized Users to make adjustments to exception Transactions and re-execute the automated reconciliation based on user configurable processing rules.

6.   Allow Authorized Users to record results of research into exceptions, associate scanned documents and other images with exceptions based on user configurable processing rules.

7.   Automatically carry forward unresolved exceptions and match to subsequent financial institution or Tolling Transaction activities, documenting the date resolved in both reconciliation results and any associated account.

29.2.6   Accounts Receivable

The Vendor shall establish, operate, and maintain automated reconciliations that compare daily account receivable activity and balances by month. The Vendor shall demonstrate that last month's ending balance for accounts receivable plus all account receivable activity equals this month's ending balance for accounts receivable based on user configurable processing rules. WSDOT will work with the Vendor to develop the definitions of individual items to be included in the formula for calculation purposes. The daily reconciliations for accounts receivable activity and balances will account for the following:

1.   Toll sales

2.   Customer-initiated Payments

3.   Outstanding fees

4.   Negative balance Prepaid Accounts

5.   Outstanding Notices of Infraction

The Vendor shall identify and resolve exceptions by reversing and adjusting Transactions based on user configurable processing rules that may vary by exception type, Customer type, Transaction type, and other defined parameters. The Vendor shall verify that all exceptions have been resolved.

29.2.7   Account Activity and Balances

The Vendor shall establish, operate, and maintain automated reconciliations that compare account activity and balances by Day and month. The daily reconciliations for account Transactions and balances shall meet the following Requirements:

1.   Demonstrate that last month's net ending balance for prepaid Customer Toll Accounts + this month's initial and recurring replenishments ± adjustments – this month's prepaid Customer Toll Account debits = this months net ending balance for Prepaid Accounts.

2.   Demonstrate that payments (recurring and one-time) applied to accounts + cash based other credits and fees = total payments collected and remitted to financial institutions by Day and month.

Automatically identify and report out-of-balance Customer Toll Accounts (payments – sales ≠ account balance) based on Authorized User configurable processing rules.

The Vendor shall identify and resolve exceptions by reversing and adjusting Transactions based on user configurable processing rules that may vary by exception type, Customer type, Transaction type, and other defined parameters. The Vendor shall verify that all exceptions have been resolved.

29.2.8   WSDOT Financial, Accounting and Other Systems

The Vendor shall establish, operate, and maintain automated reconciliations between WSDOT's financial system general ledger account balances and CSC Transactions and balances by month and at fiscal year end (for multiple fiscal accounting periods). The daily reconciliation for WSDOT financial system general ledger account balances shall meet the following Requirements:

1.   Demonstrate that cash received, remitted, and adjusted by the CSC to various financial institutions matches cash posted to the general ledger across funds, for example, based on user configurable processing rules.

2.   Demonstrate that Toll sales and other sales and fees processed by the CSC match sales posted to the general ledger across funds, for example, based on user configurable processing rules.

3.   Demonstrate that the difference between cash and sales matches the net of the liability for Prepaid Accounts and accounts receivable as adjusted for write-offs and other settlements across funds, for example, based on user configurable processing rules.

The Vendor shall identify and resolve exceptions by reversing and adjusting Transactions based on user configurable processing rules that may vary by exception type, Customer type, Transaction type, and other defined parameters. The Vendor shall notify WSDOT of any exceptions. Vendor reconciliations and corrective action to resolve exceptions will be made available to WSDOT for review and Approval. The Vendor shall verify that all exceptions have been resolved.

*** End of Section ***

30 Internal Controls

30.1 Introduction

The internal System and Services controls described here shall be used by the Vendor to ensure integrity in all aspects of the operation.

The Vendor shall prepare an Internal Controls Plan for review and Approval by WSDOT.

30.2 System Controls

The Vendor shall incorporate at a minimum the following controls to secure the System:

1. The CSC System shall support the use of role-based security with various access levels, function rights, and controls over the visibility of information that can be assigned to different user groups or individuals by Authorized Users. Users will be limited in their level of System access. These levels will be directly related to their job responsibilities and descriptions. Only supervisory and management level positions will be able to Approve adjustments, unless otherwise Approved by WSDOT.

2. The Vendor shall secure password rules and enforce password expirations. Users will have configurable number of consecutive unsuccessful login attempts before the System locks them out and the **System Administrator** is required to re-set their password. Passwords will expire after a configurable time, forcing users to change them. New passwords shall not be identical to the prior configurable number of passwords. Account access shall be immediately disabled for all employees upon termination of employment.

3. The Vendor shall control database and command line access (outside the application, through other tools or directly) by secured login and password.

30.3 Operational Accounting Controls

Operational controls shall be implemented and followed by the Vendor to satisfy WSDOT's audit Requirements. Periodic audits will be scheduled to review these controls and ensure they are being followed. WSDOT internal auditors will have access to all related processes and documentation.

The Vendor shall:

1. Meet WSDOT Requirements for daily and periodic (e.g., weekly, monthly) enforced cutoffs in all aspects of required reporting.

2. Complete all daily reconciliation routines as required in accordance with the Business Rules and Requirements of the Scope of Work. Copies of all required paperwork shall be sent to WSDOT for review and verification.

3. Transfer Toll revenue as posted to each participating Toll Transportation Facility account. Confirmation documentation (i.e., reports) of each of these transfers shall be kept on file and copies sent to WSDOT.

4.   Manual adjustments shall be audited monthly for accuracy to ensure account record integrity. All manual adjustments shall be audited each month to ensure they were processed correctly and that there are no discrepancies to resolve. If any discrepancies are found, corrections shall be processed and the appropriate documentation filed.

30.4 Photo-Enforced Toll Processing Accountability

1.   Image review shall be tracked for accuracy, rejection rates, and speed.

2.   Quality Control checks shall be established and used to ensure the image review process is accurate and efficient.

30.5 System Audit Ability

The Vendor shall ensure that the CSC System includes security and audit measures to help ensure its integrity. Measures to be incorporated, but not limited to, include:

1.   Establish fully auditable tracking of both user and System actions, including financial activity in accordance with Sarbanes-Oxley legislation.

2.   Monitor database activity by logging user and System actions, including read, write, and modify actions.

3.   Provide consistent and integrated auditing views, not accessible to other roles and users.

4.   Create a read-only access available to WSDOT's auditors available at any time. This access shall be used by WSDOT to audit the System, and to perform research when necessary.

5.   Including a security event (e.g., login/logout, configuration modification) logging and monitoring tools.

6.   Provide efficient monitoring tools that will allow for an audit trail of System activity.

*** End of Section ***

31 Auditing Support Requirements

The Vendor shall provide Services to support WSDOT and State internal and external auditors, to meet all audit Requirements as detailed in Article XVII of the Contract.

*** End of Section ***

32 Standard Operating Procedures

The Vendor shall develop and maintain Standard Operating Procedure (**SOP**) documentation for the all Services provided. The Standard Operating Procedures shall describe the steps required to complete all customer service Operations and activities.

SOPs shall be developed by the Vendor for all customer service functions that directly interact with the public and for all financial related activities. WSDOT will review and Approve all SOPs.

SOPs shall incorporate scripts for common customer service functions, automated phone Services and pre-recorded phone information.

SOPs shall include all text for Toll Bills, Notices of Infraction, and common correspondence. WSDOT will review and Approve the text.

SOPs shall include procedures to prevent revenue loss due to errors, irregularities and improper actions.

SOPs shall include procedures to ensure that all Customer payments and Toll Transactions are properly processed.

The SOPs shall specifically address Staff segregation of duties, proper authorization, physical control over assets and Software access and adequate documentation and reports.

Financial SOPs shall address the accounting and reconciliation activities to be undertaken on a daily, monthly and annual basis. Financial SOPs shall be developed in compliance with the Governmental Standards Accounting Board (GASB) and Generally Accepted Accounting Principles (GAAP) standards as applicable.

All SOPs shall be reviewed and updated on at least an annual basis or as required to support changes in WSDOT policies.

*** End of Section ***

33 Reporting

33.1 Introduction

The Vendor shall provide tolling Operations and System reports to monitor and document the performance of the Customer Services. The Vendor shall provide configurable reporting capabilities.

WSDOT retains full ownership of all information gathered and stored by the Vendor.

33.2 Requirements

33.2.1 General Requirements

All Data entered or generated in the CSC System shall be retrievable through reports and screens.

Reports shall be available for each Toll Transportation Facility. The location selection criteria shall include Toll Transportation Facility, plaza, lane, and direction of travel.

The date selection criteria shall include but not be limited to the ability to generate the same report by hour; hour(s) within a specified range; Day; Day(s) within a specified range; date range; weekly; monthly; yearly; comparative based on selection; and year-to-date, with Data presented as an accumulation or individually for the selected criteria.

The above capability shall be configurable and applicable to individual tolling locations and different Transaction types whereby the user can choose the Data to be presented as an accumulation of tolling locations and/or payment types or as individual tolling locations and/or payment types.

The CSC System shall provide the capability to support comparative analysis and statistical calculations.

Where applicable, Data shall also be presented in a graph forms and chart types, and the user shall be able to select a presentation form from a variety of graphic styles. Report designs shall be presented and finalized during the design Phase.

The Vendor shall provide ad hoc reporting tools for use by authorized WSDOT users. Authorized WSDOT users shall be able to create reports that include any field in the CSC database and then sort, sum, and filter the Data by any field based on user defined criteria Ad hoc report templates developed by users shall be made available to other users.

All reports shall show the status of the Business Day, as defined by WSDOT, last activity date, Transactions posting status and other relevant statuses.

All reports shall include individual totals, sub-totals, and grand-totals as appropriate. Reports shall be configurable based upon "process date," "Transaction date," or both, as designated by WSDOT.

All reports and screens shall have the capability to be printed, saved in PDF format, HTML format, **XML** format, and Excel formats (latest version MS Office). Selected reports shall be automatically generated and made available to authorized personnel at the

start of the Revenue Day or at other appropriate time as designated or requested by WSDOT.

A report generation feature shall be available for configuration and shall permit users with permission to request selected reports for auto delivery by email or to a designated drive folder according to a routine or custom-specific interval.

Authorized personnel shall also have the ability to view the contents of files that are received by the CSC System and transmitted by the CSC System in a readable format. If files are compressed or encrypted, the necessary Software tools shall be provided to view their contents. If the user selects a specific file, the contents of the file shall be displayed and the user shall have the ability to save the contents as a CSV file and in Excel format.

Users of the CSC System shall experience minimal delays in generating reports or accessing the CSC System for Data. The Vendor shall use effective Data storage and summarization techniques for the management of Data.

The Vendor shall ensure that all Data reported by the CSC System is consistent and matches information provided in any report or System view. The field names assigned to information displayed on any report and System view shall be consistent, match, and be derived from the same source Data.

WSDOT will have unrestricted access to all electronic Data gathered and stored on the Vendor CSC System.

Additionally, after the deployment and Implementation of the CSC System, the need may arise to create additional reports, and modify implemented reports and the Vendor shall support such additions and/or modifications.

33.2.2   Types of Reports

The Vendor shall generate reports using Data input to the System from the Toll Transportation Facilities, Staff and Customer inputs, and from interfaces to other systems. The Vendor shall document all available reports and their frequency from the Vendor's System. The following types of reports shall be provided at a minimum:

1.   **Dashboard**: As the oversight agency, WSDOT has a need to quickly and easily be able to check the status of customer service activities. The Vendor shall provide a web-based "dashboard" reporting of the overall customer service performance for the current Day (such as current wait times), Transaction activity, image review queues, and customer service statistics (such as number of accounts, average number of daily Transponder and Photo-Enforced Toll Transaction Transactions, etc.).

2.   **Vendor Performance Monitoring**: The Vendor shall provide reports that can be used to demonstrate compliance with all customer service Performance Measures required under the Contract. The specific performance information required by WSDOT from the Vendor may change over the life of the Contract. The Vendor interface shall support changes to performance information reporting Requirements normal course of business over the life of the Contract.

3.   **Toll Transportation Facility Reporting**: Reports for each Toll Transportation Facility with which the CSC interfaces, verifying the timely, complete and accurate transmission and receipt of files exchanged between the systems. The reports shall show the number of items (Transponder statuses, Transactions, etc.) sent and received, and flag any corrupt or missing Data.

4.   **Traffic and Revenue Reporting**: The Vendor shall report traffic counts from the Toll lanes compared to recorded Toll Transactions. The Vendor shall provide daily, weekly, monthly, quarterly, and yearly traffic and revenue reports for each and all Toll Transportation Facilities, showing expected/actual revenue by Transaction type, payment method, axle count, and percentage of total traffic. Traffic and revenue reports shall be available both in summary and detail format and shall be capable of showing growth trends.

5.   **Transponder Management Reporting**: The Vendor shall provide reporting for Transponder sales activity and inventory, including returns and/or servicing of defective Transponders.

   a)   *Transponder Inventory*: Transponder inventory reporting by type of Transponder to ensure there are sufficient Transponders in stock. Reports shall show the status of all Transponders at all stages of Transponder purchase and fulfillment and recovery/disposition cycle, including Transponders in warranty return, on order but not shipped, received but not assigned, and other Operational statuses. The Transponder inventory report shall be available for a range of user specific dates, for an "as of now" basis and for a daily, weekly, monthly, quarterly and annual basis.

   b)   *Daily Transponder Status*: Issuance of Transponders, their inventory status, and the status of damaged and failed Transponders, including option to show the Transponder distribution activity for each CSR.

   c)   *Transponder Distribution*: Number of Transponders distributed according to the date, particular type of distribution method and CSC location.

6.   **Transaction Processing and Disposition**: The Vendor shall provide reports for Transponder and Photo-Enforced Toll Transactions at all stages of processing and disposition, including receipt, validation, and posting. These shall include status queues for image review, name and address lookup, Toll Bill generation and Notice of Infraction generation. Reports shall be provided for unpaid Toll Bills as they age through the System, including but not limited to those that track the different stages of the unpaid Tolls, show Bills and Notices of Infraction issued and payments received, image review performance, receivables, uncollectible/write-offs, aging, disputes/adjudication, and other significant information. Specific reports shall be provided to generate evidence packages for hearings. The Vendor shall provide statistics and reports on the DOL interface, including which plates resulted in ownership Data and which plates did not, by jurisdiction.

7.   **Financial Reporting**: The Vendor shall provide all the reports required to audit, reconcile and monitor the financial performance of the Statewide CSC. Various

Operational, performance, reconciliation, financial and audit reports shall be provided, showing beginning and ending daily balances, pending and posted Transactions, adjustments, and expected versus actual revenue. The Vendor shall provide a financial journal report that lists every Toll Transaction received and every customer service Payment Transaction. Each Transaction type shall have its own unique identifier code. The Vendor shall report on daily sales detail, accounts receivable and daily deposits. Other reports at a minimum shall include:

a) *CSR Reconciliation Reports*: Summary of the activities performed for a selected shift and information needed to audit the shift. Reports shall also verify the amount of revenue expected for a CSR against the amount of revenue deposited and shall note any variation. Shifts without deposits shall be identified and ability shall be provided to drill down to the sessions and identify the discrepancy.

b) *Payment Card and ACH Processing Reports*: Revenue information and posting status for payment processing for a Business Day and for any other configurable time period. A summary report shall include the totals for all payments successfully processed identifying debits (charges) or credits (adjustments and Refund Transactions). Another report shall identify which payments have failed, the reason for failure and the number of times attempted to process each payment. All credit cards and ACH payments failing for the third time shall be identified and manual or automatic follow up to the Customer shall be initiated. Summary and detailed reports showing credit card charge backs shall also be provided.

c) *Prepaid Customer Toll Account Deposits Report*: Listing of all Customers showing the Customer Toll Account, name, and balance. The sum of the detail deposit records shall agree with total prepaid deposits. This report shall show the beginning balance, additions and ending balance.

d) *Revenue Adjustments Report*: After the Transaction is posted to an account it is possible that a dispute may result in the adjustment of the original Toll. Manual adjustments to revenue Transactions are considered adjustments for financial reporting purposes and shall be recorded on the date the adjustment was made. Reports shall be provided that show these adjustments and reconcile to the subsidiary ledger and the revenue reconciliation reports.

e) *WSDOT Financial System Reporting*: The Vendor shall report daily on tolling activity as reported to WSDOT Financial System for each financial account code required by WSDOT.

8. **Customer Service Reporting**: The Vendor shall provide reports detailing Customer Toll Account activity, complaint tracking, and correspondence tracking.

a) *Account Activity*: Summary and detailed account activity for a selected range of dates or accounts, including Transaction activity, financial Transactions, disputes, and other relevant account statistics. This report shall detail how many accounts and what types of accounts have been opened, closed, and various activity of the account.

b) *Account Status*: Detailed and summary account status for one or multiple Customer Toll Accounts, including accounts that have had a negative balance for

longer than a configurable time frame. Accounts that have no activity for longer than a configurable time frame shall also be flagged.

c) *Customer Complaints*: Statistics indicating the total number of complaints, outstanding (unresolved) complaints, and common complaint types.

d) *Customer Statement Generation*: Number of statements that were generated in a month and the method by which they were provided to the Customer.

e) *Customer Alerts*: Data categorizing the various automated alerts sent to the Customers.

f) *Customer Account Maintenance*: Reporting on the various Maintenance activities on Customers' Toll Accounts and the mode used to make these updates.

g) *Customer Communications*: Statistics on Customer communications sent and received by various methods (web, phone, IVR, fax, mail, walk-in, etc.) by location and time period.

9. **Web Activity Reports**: The web activity reports shall provide a record of all activity associated with the website. Activities reported shall include but not be limited to: number of hits, page activity, origination site, number of accounts setup via the web, account statements accessed, account maintenance activities, Photo-Enforced Toll payments received, Photo-Enforced Toll inquires, and other general information.

10. **Interactive Voice Response (IVR) System Reports**: The interactive voice response (IVR) system reports shall provide a record of activity associated with the IVR system to determine how the IVR is functioning and its effectiveness. The record of activity shall indicate the frequency at which the various menu choices are selected by callers. IVR performance reports used to monitor the following shall also be provided:

a) Total number of calls processed through Automatic Call Distribution

b) Total number of calls taken by the IVR System

c) Total number of calls transferred to a CSR

d) The number of and average length of calls handled for each line

e) The average and maximum wait time for each line

f) The time taken for a CSR to answer a call once that option is selected

g) The number of times a given menu is repeated consecutively during a given call

h) The point in the menu structure where callers disconnected (call abandoned)

i) The point in the menu structure where callers were transferred to an agent

j) Menu options that resulted in re-tries and no response from the user

k) Incorrect responses used, for what menu options and how often

l) Most frequent menu options selected and menu hit rates

11.   **Document Imaging Reports**: Reports shall be made available that summarize the quantity and type of scanned documents each Day.

12.   **Data Backup and Retention Reports**: Reports to verify that required Data backups were performed and completed successfully.

*** End of Section ***

34 System to System Interfaces

34.1 Introduction

The Vendor shall develop, test, operate, and maintain automated system to system interfaces for the electronic exchange of Data between the Vendor's CSC System Software and the computer systems provided by others as described in this section. Electronic interfaces shall be required between the CSC System and:

1.   WSDOT Toll Transportation Facilities

2.   Systems for registered vehicle owner name and address acquisition

3.   Financial institutions

4.   WSDOT financial, accounting, and other systems

5.   Washington Court systems

34.2 Requirements

34.2.1   General Requirements

The Vendor shall develop, test, operate, and maintain interfaces that meet the following general Requirements:

1.   Interfaces shall support user configuration for Data exchange with various systems and partners.

2.   Interfaces shall support multiple integration formats using configurable middleware or standard templates.

3.   Interfaces shall provide for dynamic (online), delayed (background), scheduled (batch), and ad hoc (online, background, or batch) integration with various systems and partners based on user configurable parameters.

4.   Interfaces shall provide for user configurable editing Requirements as a part of Data exchange through the integration point (for example, comparing general ledger account numbers to those effective in WSDOT's accounting system).

5.   Interfaces shall automatically validate and report the successful or unsuccessful delivery or receipt of Transactions with various systems and partners.

6.   Interfaces shall provide internal controls (reconciliation capabilities) to verify that documents, files, or Transactions sent or received contain control totals, counts and amounts that balance based on user configurable parameters to be defined in the Interface Control Document.

7.   The System interface solution shall be developed using WSDOT's Information Service Board (ISB) Enterprise Integration Architecture Standards that are designed to enable agency to agency Data sharing, System interfaces, and Data integration. The System interface solution shall conform to at least one of WSDOT's three Service Interaction Profiles standards including: Web Services, MQ Service, and File Drop Service. The System interface shall conform to the

related standards for service modeling, integration design, shared Infrastructure, and State architecture solution sets at:
http://dis.wa.gov/enterprise/enterprisearch/financial_admin_initiative.aspx

8. Interfaces shall support encryption or other method to ensure secure transmission of Data to least at the level required by the Washington State Information Technology Security Standard – Policy No. 401-S4. This policy requires encryption such that:

   a) All manipulations or transmissions of Data during the exchange are secure.

   b) If intercepted during transmission, the Data cannot be deciphered.

   c) Confirmation is received when the intended recipient receives the Data.

   d) The exchange of information shall occur between secure end points.

   e) Entities shall use industry standard algorithms or cryptographic modules such as those validated by the National Institute of Standards and Technology (NIST).

9. Interfaces shall use Application Programming Interfaces (**API**s) that follow a service oriented model (examples include REST and SOAP).

10. Interfaces shall use XML formats for Data transfer between systems and transform CSC System XML outputs to address legacy systems of external partners.

11. Interfaces shall retain an audit trail of all activity, unique identifiers, including user and systems interactions, date, and time stamps according to the retention rules established by WSDOT for this Program.

12. Interfaces may be architected so as to use exception or error handling files to facilitate any partial re-run of a set of interface Data; however, any changes made to an exception file by Vendor Staff shall be audit trailed.

13. All interfaces shall be supported by standard back-up and recovery tools and procedures.

14. All interfaces shall be transferable to computers running the same operating system without any modification.

34.2.2   Interface Development

The Vendor shall prepare Interface Control Documents (ICD) for each interface for review and Approval by WSDOT. The ICD shall depict the physical, functional, and performance interface characteristics between the CSC and the other systems. Data flow diagrams, process flow diagrams and decision flows shall be clearly defined identifying the relevant system components. Any Hardware, equipment or communication required for the interface shall be identified. During the development of the ICD, the Vendor shall take the lead role in submitting the draft documents for review, managing the comments, maintaining version control, and finalizing the documents.

The ICD shall establish and maintain compatibility at the common boundary between the systems and Data elements. The developed interfaces shall be in compliance with the latest ICD. The ICD shall coordinate and control the interface and shall be used for the

purpose of change control at the interface point. The physical interface connection and communications protocol shall be designed to support the timely exchange of Data as required by the Contract. The ICD shall be tested by the Vendor with the cooperation of the external entity and shall be part of overall System Testing.

34.2.2.1   Design

The Vendor shall conduct as-needed working sessions with the other system suppliers and WSDOT to develop the design for the interface including any required Hardware and communications between the CSC System and the other systems. The Vendor shall develop a draft ICD for review and comment by WSDOT and the other system suppliers. The Vendor shall respond to comments, conduct a comment resolution working session, and develop a draft final ICD for review and comment. Based on the comments to the draft final ICD, the Vendor shall develop a final ICD for Approval by WSDOT.

34.2.2.2   Development

The Vendor shall develop the required interfaces between the CSC System and the other systems according to the Approved ICDs and any associated designs. The Vendor shall work with other system suppliers to develop or modify their system interfaces as appropriate, to meet the Requirements of the Approved ICDs.

The Vendor shall conduct periodic status meetings with all of the other system suppliers and WSDOT to monitor progress and address any potential development issues. Any changes to the Interface Control Documents required to accommodate mutually acceptable changes will be incorporated into a set of **As-Built** ICDs to be provided after testing is complete.

34.2.2.3   Testing

As part of the overall Testing Plan and procedures for the Program, the Vendor shall develop a Test Plan to validate interfaces between the CSC System and the other systems. The Vendor shall demonstrate that the Requirements of the Approved ICDs and any associated Hardware and communication designs have been achieved. The Vendor shall coordinate with the Toll Collection System and other system suppliers to ensure that the procedures and schedules for testing are coordinated.

34.2.2.4   Implementation

As part of the overall Initiation of Revenue Operations Plan, the Vendor shall coordinate with the other system suppliers and WSDOT to detail the steps that are required to implement the interfaces.

The Vendor shall develop the sections of the Initiation of Revenue Operations Plan that are relevant to its responsibilities, state any assumptions, and detail actions required by others for submission and Approval by WSDOT. The plan prepared by the Vendor shall also address Data migration Requirements detailed in the TNB Migration Requirements section of the Scope of Work. The Vendor shall coordinate with the other system suppliers to ensure that the procedures and schedules for Implementation are coordinated.

The Vendor, other system suppliers, and WSDOT will review and comment, as appropriate, on the separate plans provided by the Vendor and the other system suppliers.

The Vendor shall lead working sessions, as needed, to develop, review, and finalize the coordinated plan. The Vendor, other system suppliers, and WSDOT shall conduct a readiness review before the interfaces are implemented.

The Vendor shall coordinate with other system suppliers to actively monitor the interface to ensure compliance with the system design and performance Requirements.

The Vendor shall update the ICDs and associated designs to reflect any changes made during the design and Implementation. WSDOT shall review and Approve the documents.

34.2.2.5   Operations and Maintenance

The Vendor shall operate and maintain the automated interfaces to other systems suppliers according to the Requirements in the Contract. The Vendor shall coordinate with other system suppliers to actively monitor the interfaces to ensure compliance with the system design and performance Requirements.

34.2.3   WSDOT Toll Transportation Facilities

The Vendor shall develop, test, operate and maintain an automated, electronic interface for the exchange of Data between the Vendor-supplied CSC System and the Toll Collection Systems at WSDOT Toll Transportation Facilities, to initially include:

1.   SR 520 Open Road Tolling Lanes

2.   Tacoma Narrows Bridge Tolling Plaza

3.   SR 167 High-Occupancy Toll (HOT) Lanes

WSDOT anticipates that additional Toll Transportation Facilities shall become Operational over the duration of the Contract. The interface design shall be flexible and scaleable in order to meet future demands.

The interface to the Toll Collection Systems at the Toll Transportation Facilities shall provide at least the following functions:

1.   Receipt and acknowledgement of the transmission of electronic Transponder and Photo-Enforced Toll Transactions from the Toll Collection Systems at each Toll Transportation Facility to the Statewide CSC System.

2.   Transmission and acknowledgement of the transmission of Transponder status files from the Statewide CSC System to the Toll Collection Systems at each Toll Transportation Facility.

3.   Access to a secure database of all images captured for each Photo-Enforced Toll Transaction at each Toll Transportation Facility (as available) for on-demand access from the Statewide CSC System.

4.   Secure, view-only access to Maintenance and Toll Transaction information at each Toll Transportation Facility for the resolution of Customer inquiries concerning Toll Transactions at a Toll Transportation Facility.

The specific ICD covering this aspect of the interface should be to the extent possible the same for all existing Toll Transportation Facilities (TNB and SR 167) and set the standard interface for SR 520 and all other future Toll Transportation Facilities.

The design for this interface shall account for:

1.   Addressing processing Requirements in accordance with the Business Rules.

2.   Providing connections to up to ten (10) separate Toll Transportation Facilities.

3.   Receiving and processing up to 500,000 Toll Transactions per Day.

4.   Receiving Toll Transactions from each Toll Transportation Facility every ten (10) minutes.

5.   Accommodating up to five (5) million Transponders in the status file.

6.   Distributing the entire Transponder status file once a Day.

7.   Distributing Transponder status updates every hour.

The Vendor shall coordinate with each Toll Collection System supplier to establish and operate a secure database on the Toll Collection System at each Toll Transportation Facility for all images captured as part of each Photo-Enforced Toll Transactions and to establish access to each database. This interface will be required for TNB, SR 520 and future Toll Transportation Facilities. Photo-Enforced Toll images are not captured on the SR 167 HOT Lanes Facility. This aspect of the interface should be, to the extent possible, the same for TNB, SR 520, and all other future Toll Transportation Facilities. The images shall be indexed to the appropriate Photo-Enforced Toll Transaction. The images shall be available on-demand on a 24 hours per Day, 7 Days per week basis from the CSC System. The Vendor shall coordinate with the Toll Collection System suppliers and WSDOT to finalize the design of the database, Hardware, and communications. The final design shall be documented in the Approved ICD.

The Vendor shall coordinate with the Toll Collection System suppliers to establish a secure, view only access to the Toll Collection System at each Toll Transportation Facility for Vendor authorized Staff. The Toll Collection System suppliers will not be required to change their existing Toll Collection System to accommodate this Requirement. Authorized Vendor customer service Staff shall be able to view equipment status information, Maintenance activity information, and Toll Transaction Data to address Customer inquiries concerning Transactions at Toll Transportation Facility. The Vendor shall coordinate with Toll Collection System suppliers to determine which information should be available to Vendor customer service Staff. The Toll Collection System suppliers or WSDOT will establish a user profile to support this function. The Toll Collection System suppliers will conduct up to three training sessions for Vendor customer service Staff. The Vendor shall document the access process and procedures as part of its Standard Operating Procedures.

The Vendor shall be responsible for establishing and maintaining secure, electronic communications links to Toll Collection System at each Toll Transportation Facility for the transmission and receipt of the Data. The capacity of the communications link will be of sufficient size to meet the performance Requirements in the Contract. The servers for the Toll Collection Systems are or will be located at:

1.   SR 520 Open Road Tolling Lanes: WSDOT **Traffic Management Center** (Seattle)

2.   Tacoma Narrows Bridge Tolling Plaza: TNB Tolling Plaza (Gig Harbor)

3.   SR 167 High-Occupancy Toll (HOT) Lanes: WSDOT Traffic Management Center (Seattle)

Other suppliers may be providing the Toll Collection Systems at the existing and future Toll Transportation Facilities under separate contract with WSDOT. The other Toll Collection System suppliers will assist the Vendor in developing the interface design and implementing and testing the interface at each specific Toll Collection System for which the Toll Collection System supplier is responsible.

The Vendor shall document the interface in an ICD for review and Approval by WSDOT.

34.2.4   Toll Transportation Facility Traffic Counts

The Vendor shall develop, test, operate and maintain automated, electronic interfaces to receive available traffic count Data from Toll Transportation Facilities. This independent source of traffic count information shall be used to help monitor and reconcile the traffic counts with Toll Transactions from the Toll Transportation Facility Toll Collection Systems. The traffic count information shall be available by lane and in at least five (5) minute increments.

The Vendor shall be responsible for establishing and maintaining secure, electronic communications links to source of the traffic count Data for the receipt of the Data. The existing WSDOT traffic management system will be the source of the traffic count Data. The capacity of the communications link will be of sufficient size to meet the performance Requirements in the Contract.

The Vendor shall document the interface in an ICD for review and Approval by WSDOT.

34.2.5   Registered Vehicle Owner Information

The Vendor shall develop, test, operate and maintain automated, electronic interfaces to obtain Washington State and all other States registered owner identification information from government and other third-party sources, and to optionally place holds on registration renewals based on captured license plate Data and images except where electronic registered owner identification information is not available.

34.2.5.1   *Washington State Department of Licensing*

The Vendor shall develop, test, operate and maintain an automated, electronic interface to the Washington State Department of Licensing (DOL). The purpose of the interface shall be to obtain Washington State registered owner identification information based on captured license plate Data and images. The Vendor interface shall support the capability for WSDOT to establish criteria for the selection of unpaid Tolls for which vehicle ownership information will be requested from DOL based on user configurable rules. WSDOT will establish intervals for the transmission of requests for vehicle ownership information from DOL and the specific content and format of the request and response. The Vendor shall track the files sent to Washington State DOL for comparison to files

received back from Washington State DOL. The CSC System shall be able to provide statistics and reports on the files and plates that are processed, including which plates resulted in accurate ownership Data and which plates did not. The Vendor interface shall be highly flexible to support changes in unpaid Toll selection criteria, Data exchange intervals, and the content and format of the information exchanged at no additional cost to WSDOT.

The Vendor shall have the ability to establish and operate an automated, electronic interface to the Washington State DOL to request a hold be placed on driver's license and vehicle registration renewal for owners with unpaid Tolls, fees, and fines and to request a release upon settlement according to user configurable rules. The CSC System shall track registration holds and releases. If authorized by law, the CSC System shall have the ability to place registration holds and releases on the DOL system.

WSDOT will establish criteria for the selection of unpaid Tolls for which registration holds will be requested from DOL. WSDOT will also establish intervals for the transmission of requests for registration holds and releases from DOL and the specific content and format of the request and response. The Vendor interface shall be highly flexible to support changes in unpaid Toll selection criteria, Data exchange intervals, and the content and format of the information exchanged at no additional cost to WSDOT.

The Vendor shall document this interfaces in an ICD for review and Approval by WSDOT.

34.2.5.2   *Other State Departments of Motor Vehicles*

The Vendor shall develop, test, operate, and maintain automated, electronic interfaces to all other State Department of Licensing and/or Motor Vehicles (**DMV**) in the United States. These interfaces may be implemented through national or international clearinghouses as they become available or through electronic Data exchange directly with other jurisdictions.

WSDOT will establish criteria for the selection of unpaid Tolls for which vehicle ownership information will be requested from other states as well as the states with which information will be exchanged. WSDOT will also establish intervals for the transmission of requests for vehicle ownership information from other states and countries and the content of the request and response. The Vendor shall track the files sent to other States' DMV for comparison to files received back from other states. The CSC System shall be able to provide statistics and reports on the files and plates that are processed, including which plates resulted in ownership Data and which plates did not. The Vendor interface shall be highly flexible to support changes in unpaid Toll selection criteria, states and countries from which information will be requested, Data exchange intervals, and the content of the information exchanged at no additional cost to WSDOT.

The Vendor shall not be required to provide an ICD for the interface to other State Departments of Motor Vehicles.

34.2.5.3   *Third-Party Sources of Information*

The Vendor may use third-party sources of information to obtain the most current names and addresses of registered vehicle owners for the purpose of sending Toll Bills and

notices of infraction. The Vendor interface shall support the capability for WSDOT to establish criteria for the selection of unpaid Tolls for which vehicle ownership information will be requested from third parties based on user configurable rules. WSDOT will establish intervals for the transmission of requests for vehicle ownership information and the specific content and format of the request and response. The Vendor shall track the files sent to third parties for comparison to files received back from third parties. The CSC System shall be able to provide statistics and reports on the files and plates that are processed, including which plates resulted in accurate ownership Data and which plates did not. The Vendor interface shall be highly flexible to support changes in unpaid Toll selection criteria, Data exchange intervals, and the content and format of the information exchanged at no additional cost to WSDOT.

The Vendor shall not be required to provide an ICD for the interface to third-party sources of Data.

34.2.6   Financial Institutions

The Vendor shall develop, test, operate, and maintain automated electronic interfaces with WSDOT, Office of State Treasurer (OST), or OST identified partners to support the following payment activities:

1. **Cash and Check Deposits**: Verification of deposits, returned items, and other adjustments. Interfaces for all cash and check deposit information shall comply with WSDOT and OST supplied content and format Requirements that may change over the life of the Contract.

2. **Automated Clearing House (ACH)**: Pre-notes, payments, credits, Refund Transactions, returned items, and notifications of change. Interfaces for all ACH payments shall be in Electronic Payments Association (NACHA) format and shall be transmitted and received via the Department of Information Services (DIS) secure file transfer server or other WSDOT designated secure Facility to the Office of State Treasurer (OST) for processing by WSDOT's concentration bank.

3. **Electronic Benefit Transfers (EBT)**: Charges, credits, Refund Transactions, returned items, and notifications of change. Interfaces for all EBT information shall comply with WSDOT and OST supplied content and format Requirements that may change over the life of the Contract.

4. **Credit Cards and Branded Debit Cards**: Charges, credits, Refund Transactions, returned items, and notifications of change. Interfaces for all credit and branded debit card information shall comply with WSDOT and OST supplied content and format Requirements that may change over the life of the Contract.

The Vendor shall receive and process files of returned items, credits, and other adjustments from financial institutions based on user configurable formats and processing rules, automatically updating account and other payment activity. Audit trails and exception reporting shall be provided by the CSC System. The Vendor shall have access to automated reporting from the financial institutions where available to assist in reconciling any discrepancies in processing Transactions. Reports shall be made available on the CSC System that display summarized and detail Data on the processing status, including a description of all failures. Any failures in the processes that interface

with the financial institutions or with the communications to the financial intuitions shall result in automatic notification to appropriate Vendor Staff.

WSDOT and OST will establish intervals for the transmission of information via these electronic interfaces that may change over the life of the Contract. The partners with whom the Vendor establishes and operates electronic interfaces may also change over the life of the Contract. In addition, the content and format of interfaces for payment activities may also change over the life of the Contract. These changes are considered part of ongoing IT Services to be provided under the Requirements of the Contract.

The Vendor shall document these interfaces in an ICD for review and Approval by WSDOT.

34.2.7   WSDOT Accounting, Financial, and Other Systems

The Vendor shall develop, test, operate and maintain automated electronic interfaces with WSDOT accounting, financial, and other systems to provide information on the following types of activities:

1. **Cash Receipts**: Cash and check deposits; returned items and other adjustments; ACH payments, credits, Refund Transactions, and returned items; credit card and branded debit card charges, credits, Refund Transactions, and returned items; and EBT payments, credits, Refund Transactions and returned items allocated to individual Toll Transportation Facility accounts (cash associated with each Toll Transportation Facility – based on fund, revenue source, or program, for example – per current Laws and Regulations).

2. **Unapplied Receipts**: Cash, check, ACH, EBT, and credit card and branded debit card payments, Refund Transactions, credits, returned items, and other adjustments.

3. **Customer Toll Accounts**: Accounts by status.

4. **Administrative and Other Fees Charged**: Against prepayments, received as charged, unpaid, allocated to individual Toll Transportation Facility accounts (cash associated with each Toll Transportation Facility – based on fund, revenue source, or program, for example - per current Laws and Regulations).

5. **Sales**: Transponder, merchandise, Toll, and other, allocated to individual Toll Transportation Facility accounts (cash associated with each Toll Transportation Facility – based on fund, revenue source, or program, for example - per current Laws and Regulations).

6. **Toll Sales Type**: Transponder, Photo-Enforced Toll, redundant, unidentified, and unreadable.

7. **Sales Tax**: Destination based, per the Sales Tax Requirements in the Scope of Work.

8. **Prepayments**: Receipts, charges against, and adjustments.

9. **Payments Received**: Walk-in, mail, telephone, website, and collections.

10.   **Accounts Receivable**: Age billed, unbilled, notice of infraction, contested, registration hold, and collections.

WSDOT may add to or delete from the activities for which Data exchange is required over the life of the Contract. The interface shall support connections to multiple systems including accounting, financial, and Data warehouse. WSDOT will work with the Vendor to define the information required for these interfaces as part of the Implementation effort and through the duration of the Contract. Vendor interfaces shall support changes in the activities for which Data exchange is required. Changes to WSDOT financial and accounting systems are considered part of ongoing IT Services to be provided under the Requirements of the Contract.

WSDOT will establish intervals for the transmission of activity information, the receiving system or systems for exchange, and the specific XML contents and formats for Data transmission to the designated receiving system that may change over the life of the Contract. Vendor interfaces shall be highly flexible to support changes in Data exchange intervals, systems, contents, and formats. These changes are considered part of ongoing IT Services to be provided under the Requirements of the Contract. The Vendor shall document these interfaces in an ICD for review and Approval by WSDOT.

Note that the Transportation Accounting and Reporting System (**TRAINS**) is currently used to account for all WSDOT cash receipts, unapplied receipts, revenues, expenditures, disbursements, assets, and obligations. A replacement for TRAINS may be implemented during the duration of the Contract, although no timeline has been set for such a replacement.

The electronic tolling Data currently being transferred to TRAINS includes the following:

- Cash Toll Transaction revenue collected at the TNB attended lanes
- Credit card Toll Transaction revenue collected at the TNB attended lanes
- Credit card rejections posted by Transactions dated at the attended lanes
- Transponder Toll Transaction revenue debited from Customer Toll Accounts as indicated by the lane controllers and adjusted for manual Tolls and manual Toll adjustments and volume discounts applied at the Customer Service Center (CSC)
- Photo-Enforced Toll revenue expected to be recovered
- CSC administration fee, addition of tags fee, Non-sufficient Fund fee and addition of Transponder Disabling Device fee revenue debited from Customer Toll Accounts
- Cash and check revenue collected at the CSC for payments made to Customer Toll Accounts
- Credit card revenue collected at the CSC for payments made to Customer Toll Accounts
- Debit card revenue collected at the CSC for payments made to Customer Toll Accounts
- Credit card revenue collected at the CSC for automatic replenishment of Customer Toll Accounts
- ACH revenue collected at the CSC for the automatic replenishment of Customer Toll Accounts

- Photo-Enforced Toll revenue expected to be recovered for which the owner of the vehicle has been identified
- Photo-Enforced Toll Transaction revenue expected to be recovered for which the owner of the vehicle has an Customer Toll Account so that the Toll Transaction revenue can be debited from the account (i.e., a Video Toll)
- CSC returned check amounts re-debited from Customer Toll Account
- CSC credit card refunds debited from Customer Toll Account

Data is provided separately for each of the Operational Toll Transportation Facilities and will be required separately for SR 520. It is anticipated that additional categories will be required including, but not limited to, financial information on Registered License Plate Accounts, Customer-initiated Payments, Notices of Infraction, court payments, collection agency payments. Exhibit E provides the record format of TRAINS Transactions.

The Vendor shall document the interface in an ICD for review and Approval by WSDOT.

34.2.8   Washington Court Systems

The Vendor shall develop, test, operate, and maintain an automated electronic interface to the various Courts for the electronic transfer of tolling related notices of infraction, updates to registered owner addresses, and disposition of each violation. The interface to accept disposition information from the Court will be developed at a later date under the Change Order process.

WSDOT will establish criteria for determining violations related to unpaid Tolls and the jurisdiction(s) with which the Vendor shall exchange violation information. In addition to the transmission of violation information to various Courts, the Vendor interface shall support the receipt of violation disposition and other information (including payment and additional fees assessed) from the Courts.

WSDOT will also establish intervals for transmission and receipt of violation related information to and from the various Courts as well as the content and format of the information exchanged. Vendor interfaces shall be highly flexible to support changes in violation determination criteria, jurisdiction selection rules, Data exchange intervals, and the content and format of the information exchanged at no additional cost to WSDOT.

The Vendor shall initially be expected to exchange information with the Administrative Office of the Courts and two jurisdictions: King County for the SR 520 and SR 167 HOT Lanes and Pierce County for the Tacoma Narrows Bridge.

The Vendor shall document this interface in an ICD for review and Approval by WSDOT.

*** End of Section ***

35 Training

35.1 Introduction

The Vendor shall be responsible for providing the internal training of its Staff for the efficient operation of the Statewide CSC. The training components shall include:

1.   Advanced training in the CSC System and CSC Operations.

2.   Refresher training.

3.   Remedial training.

4.   Other related training for new and additional Operational procedures and Systems.

In addition to the internal training, the Vendor shall provide training to WSDOT or external entity staff at three levels:

1.   Introduction to the CSC System and Operations.

2.   Yearly refresher course for the CSC System and Operations.

3.   On request training as needed on the user interface, reports, etc.

Other related entities that shall require training include State accounting and financial staff, IT and management.

The Vendor shall provide a Training Plan documenting the training components for the various levels of training, a training schedule and training class outline. The Training Plan shall indicate who from the Vendor Staff and WSDOT should attend each training class.

35.2 Requirements

35.2.1   General

All training Requirements shall apply to both internal and external Staff of the Statewide CSC (i.e., Vendor, WSDOT and other related entities).

The Vendor shall identify the modules for training, schedule for the training modules and duration for each area of training.

Training for the Statewide CSC Staff shall be completed before CSC Operations Commencement according to the Approved Program Schedule. Training material shall be provided at least three (3) weeks before the commencement of the training.

WSDOT shall review all training material for the content and reserves the right to request any modification or additions to the presented material.

All refresher training courses should be scheduled such that the training does not affect day to day Operations at the Statewide CSC.

The training courses shall accommodate up to 15 people. Classroom Facilities or equivalent shall be provided by the Vendor for the training courses; however, WSDOT may assist with providing a Facility with at least two (2) weeks notification.

35.2.2   Training Method

The Vendor shall provide training, together with all instructional notes, drawings, training aids, etc. for the internal and external Staff. The Vendor shall ensure the Vendor Staff or **Subcontractor** provided for the training are proficient at both technical and non-technical training.

The Vendor shall co-ordinate the itinerary, schedule and contents of each training session with WSDOT. The Vendor shall ensure that all modules of the training have been completed within the timelines identified in the section above.

35.2.3   Training Equipment

The Vendor shall use a stand alone CSC System for training purpose. The Vendor shall only use a live CSC System when showing rectification processes or a refresher in a one-on-one setting.

The Vendor shall provide all written or printed items, functional equipment, samples, models, cut-away equipment, slides, films and other instructional material as may be necessary for training.

*** End of Section ***

36 IT Services

36.1 Introduction

For the purpose of these Requirements, the term CSC System refers to all Software running on the Vendor's servers supporting the CSC, all Data stored on the System, all Hardware at the Host and CSC level, as well as development, testing and training systems. The Software includes, but is not limited to, operating systems, databases, application Software, communication protocols, and third-party supporting Software.

The Vendor shall provide Information Technology (IT) Services required to support Customer Service Center Operations and to ensure that the CSC System and Services meet the Requirements of the Contract. Customer Service Center IT Services shall be provided to support walk-in Customer Service Centers, internet, telephone, interactive voice response system, network communications, Software applications, database, standard business applications, and other Services required under the Contract.

36.2 Requirements

The Vendor shall provide continuous (24 hours per Day, 7 Days per week) IT Services for the CSC System to ensure that it is performing and will continue to perform as required by the Contract.

36.2.1   General Requirements

IT Services shall include monitoring and corrective action to ensure the CSC System and TNB migration performs in accordance with the Requirements of the Contract. This shall include, but is not limited to, the following:

1. Develop schedule and inform WSDOT of all scheduled Maintenance activity that will impact the **Availability** of the CSC System, communications Infrastructure, and system to system interfaces.

2. Establish and staff a Help Desk function for assisting WSDOT staff in answering user questions and identifying Data errors.

3. Provide any daily, weekly, or periodic Maintenance required to maintain the CSC System at required performance levels.

4. Conduct CSC System shutdown and re-start, if required, to keep the System Operational.

5. Re-establishment or re-installation of CSC System files, programs and parameters, as required, following a failure or damage to the System.

6. Provide ongoing database performance monitoring, Maintenance, upgrades, revised indexing and tuning as needed to optimize System performance.

7. Complete daily backup of all CSC System Data. In addition, the Vendor shall be responsible for performing a restoration and recovery of any component of the System as required after a failure.

8.   Utilize CSC System tools and error logs to monitor and analyze the performance and health of the CSC System with regular timely reporting of findings to WSDOT.

9.   Monitor System security and address any potential threats.

10.   Investigate and analyze anomalies, including trend analysis.

11.   Coordinate identification of potential problems, lead the problem resolution process, and initiate corrective actions to include modifying System functionality as needed with regular timely reporting of findings to WSDOT.

12.   Perform required installation and integration of new Software and Hardware, including but not limited to, application Software, databases, operating systems, security Software, third-party Software, and other supporting Software.

13.   Update Systems and security in compliance with updated PCI DSS standards.

14.   Verify time synchronization is occurring as configured and System clocks are not drifting beyond acceptable threshold.

15.   Verify on a daily basis that all interfaces to other systems are functioning according to the Requirements of the Contact and the Approved Interface Control Documents.

16.   Verify processes, programs, and scheduled jobs are successful.

17.   Make changes to CSC System configurable parameters and rules and deploy changes in production.

18.   Make routine changes to Customer Toll Account record Data including addition of Customer Toll Account types.

19.   Modify IVR call flow to correct routing and call flow problems identified during normal Operations.

20.   Modify the Customer website to maintain up-to-date information relating to Toll rates and Facility information, Toll Customer issues, and WSDOT policies.

21.   Perform ad hoc queries based on WSDOT requests and provide reports on all requests.

The Vendor shall maintain current and accurate records for all System Hardware and Software Maintenance activities. The records shall be organized and managed by a computerized Data and information management System. The Vendor shall maintain records in an electronic form easily retrievable and transferable to WSDOT. All records are the property of WSDOT and as such WSDOT has the right to review and retrieve Data and records at any time via electronic or hard copy. The Vendor shall provide WSDOT with direct access to the Vendor's database.

36.2.2   Ongoing Preventive Maintenance and Regular Software Upgrades

The Vendor shall be responsible for providing appropriate System Hardware and Software Maintenance for CSC System components for the term of the Contract in order to ensure the continued efficient and effective operation of the System.

The Vendor shall perform System administration activities, corrective action, preventative Maintenance and other required Maintenance in a timely manner. The Vendor shall provide upgrades for both custom and COTS Software in a timely manner as releases become available and in accordance with a **Configuration Management** plan to be Approved by WSDOT.

The Vendor shall maintain third-party Software at the most current or one back version throughout the term of the Contract unless such Maintenance degrades the performance of the Vendor's Software, in which case the Vendor and WSDOT shall agree on the appropriate course of action.

The Vendor shall keep all Software instances (training, test, development, pre-production and production) at the same configuration and patch level.

As standard practice when repairing deficiencies and releasing System fixes or upgrades, the Vendor shall prepare and run Regression Testing scripts to test each build that is delivered to the test environment to ensure that no regression problems have surfaced. Any regression issues shall be documented as deficiencies and resolved accordingly.

36.2.3   System Maintenance Requirements

The Vendor shall maintain the CSC System to meet the following Requirements:

1. **Facilitating Communications with Vendor**: The Vendor shall establish and provide a 24 hour per Day telephone number for the reporting of CSC System outages and problems. The Vendor shall provide WSDOT with the contact information for technicians, supervisors and Managers.

2. **System Hardware and Software Outages and Problems**: The Vendor shall respond, either through remote access or on-site, and begin working on problems within two (2) hours of notification 24 hours a Day, 7 Days a week.

3. **Hardware Outages and Problems**: All Hardware failures for the CSC System shall be repaired within two (2) hours of arrival on-site, but in no case shall the repair time exceed four (4) hours from the first notification. The total response and repair time shall be measured from the exact time the problem is first reported until the equipment is brought back online and is functioning at full capacity. The Vendor shall notify WSDOT once the repair time reaches four (4) hours without resolution. The Vendor is required to have repair parts available at all times. If the repair is specialized, the Vendor shall provide a work around until the parts are delivered.

4. **Software Outages and Problems**: Every attempt shall be made to fix all Software problems within three (3) hours of being reported. Software problem response Requirements shall depend upon whether revenue collection is impacted or not. If revenue collection is potentially impacted but repair will take longer than (3) hours,

the Vendor shall report the status of problems as soon as the situation becomes evident. Status reports shall be submitted thereafter at least every four (4) hours, until the problem is corrected or a work around is established.

5. **Maintenance Staff**: The Vendor shall maintain a full-time System Maintenance Staff, to effectively support and maintain the CSC System on a 24 hours per Day, 7 Days per week schedule. Software and computer Hardware Maintenance shall be provided through qualified personnel and contractors acceptable to WSDOT.

36.2.4   Communication Network Support

The Vendor shall establish operate, and maintain the communication network that is required to support the Services and Systems of the Contract. This includes, but not limited to, connections for CSC central System, Customer Service Centers, customer service storefronts, internet, telephones, interactive voice response system, WSDOT Toll Transportation Facilities, WA DOL, WSDOT financial system, WA OST, financial systems, Out-of-State DMV vehicle registration providers and other third-party systems as required by the Contract.

The Vendor shall be responsible for network monitoring in order to respond to any fault or problem with minimum down time. The Vendor shall monitor the security of the network. The Vendor shall provide updates to network security in compliances with updated WSDOT and PCI DSS standards.

36.2.5   Software Licenses

The Vendor shall keep up to date all **Software License**s needed to provide the Services required under the Contract. Any late fees or penalties incurred due to the Vendor's lack of control over the **License** and support process shall be paid by the Vendor. The Vendor shall transfer the Software Licenses to WSDOT at the termination of the Contract.

36.2.6   Warranties

The Vendor shall be responsible for the development, Implementation, and administration of a warranty program for all Hardware, Vendor-developed Software, and third-party Software provided under the Contract. The Vendor shall maintain warranty records and shall review Software discrepancy and available patch reports to determine if the Software requires upgrading.

The Vendor shall take all reasonable and prudent steps to ensure that all Hardware and third-party Software used by the System is supported by the Vendor and all warranties remain in effect. The Vendor shall make every effort to ensure that warranties are honored by other Vendors.

*** End of Section ***

37 Security Management

37.1 Introduction

The Vendor shall establish, operate, and maintain Services and processes to ensure the security of Data (both paper and electronic), Systems, Facilities, Staff, and funds. The Vendor shall submit a Security Management Plan to WSDOT for review and Approval documenting the approaches that shall be used to implement such Services and processes, including the resources, tools and equipment. Security functions shall be included in the overall testing program described in Section 8.

37.2 Requirements

37.2.1   Paper and Electronic Data

The Vendor shall not release Customer information to anyone other than authorized WSDOT staff, as may be appropriate, and shall refer any requests, inquiries, subpoenas, and other official information requests to WSDOT. WSDOT may also require the Vendor to compile Data for subpoenas, Freedom of Information Requests, or other special requests.

The Vendor shall be responsible for reviewing and implementing all policies, procedures and protection measures relating to the gathering of sensitive Customer Data, to include but not be limited to, updating and communicating a privacy policy and tracking of information disclosed to third parties.

The Vendor shall ensure that the CSC System and Operations (electronic, paper, and human) are compliant with the current version of the Payment Card Industry Data Security Standard (PCI DSS) in order to protect Customers from fraud and theft of information.

The Vendor shall be responsible for any fees, fines or sanctions resulting from security breaches or thefts resulting from the Vendor or its Staff failing to comply with the stated standards and applicable Federal and Washington State law. The Vendor shall be responsible for any damages and restitutions to the public resulting from security breaches or thefts from the Vendor or its Staff including, but not limited, to the impacts of identity thefts.

The CSC System shall allow an Authorized User to define what screens and reports each user-level has access to.

The CSC System shall accommodate sufficient user levels to provide an appropriate level of access to all users on a "need to know" basis.

System Administrators shall be the only permissible user group to access the database server for System Maintenance, Software upgrades, backup, archiving, restoration and performance monitoring and tuning.

37.2.2　　Systems

The CSC System shall be consistent with Washington State information technology security Requirements as provided on the Department of Information Services (DIS) website: (http://isb.wa.gov/policies.aspx). The current standard (as of May 8, 2009) is located at http://isb.wa.gov/policies/portfolio/401S.doc

All computers procured, furnished, and installed under the Contract shall have up to date current virus protection and other security Software and shall automatically obtain virus protection updates according to a recommended schedule.

Access to the CSC System shall be password protected. The Vendor shall implement password control procedures for setting and modifying passwords securely.

The CSC System shall incorporate features to support security and integrity for all System Data, communications and functional activity.

IT security shall be included as part of the System development life cycle management process.

The CSC System shall provide security features and protection between the System web application and central database.

The CSC System shall provide security features and protection for all system to system interfaces.

37.2.2.1　　Layered Security and PCI DSS Compliance

A layered security approach is required for all WSDOT network traffic and shall be implemented by the Vendor. Use of Intrusion Detection Systems (**IDS**), Intrusion Detection and Prevention (**IDP**) and behavioral based zero update attack prevention using Cisco Security Agent (**CSA**) is required in order to provide Payment Card Industry Data Security Standard (PCI DSS) compliant network Infrastructure. This layered security approach with integrated Cisco **ASA** (Adaptive Security Appliance) firewalls complies with Washington State ISB (Information Services Board) security policies as detailed at: http://isb.wa.gov/policies/security.aspx

37.2.3　　Internet

The CSC website shall be equipped with industry standard security features.

The CSC website shall provide secure communications with browsers.

The Vendor shall not store Customer personnel or financial Data on the web server except temporarily during the processing of a Transaction.

The Vendor shall provide proactive monitoring for external attacks.

37.2.4　　Facilities

The Vendor shall limit access to Vendor provided Facilities and internal spaces based on need, for both Vendor and WSDOT access as required to perform their designated functions.

The Vendor shall install general surveillance and monitoring equipment for customer service storefront and back-office location(s).

The security system shall include:

1.   Security video system: to allow the remote view of CSC Operations.

2.   Access control and alarm system: to control access to buildings and provide alarms for fire, instruction, and personal safety.

37.2.5   Staff

All Vendor personnel shall be subject to Washington State Patrol background checks and the results provided to WSDOT. Candidates with ANY misdemeanor and/or felony convictions may be excluded from employment at the discretion of WSDOT.

37.2.6   Funds

The Vendor's Services shall employ appropriate safeguards against receiving fraudulent or counterfeit funds, and to ensure secure cash handling and protection of Customer privacy.

The Vendor shall implement procedures to be followed when receiving cash payments to avoid the receipt of fraudulent funds. If fraudulent funds are received, the Vendor shall follow up to investigate the case and collect the funds, including contacting and cooperating with law enforcement.

The Vendor shall be responsible for all funds until custody of the funds has been passed to the courier or bank.

Collected revenue shall be temporarily stored on-site using a high security locking device or safe.

37.2.7   Financial Accounting

The Vendor shall conduct quarterly financial accounting risk assessments of CSC Operations.

The Vendor shall utilize the results of quarterly risk assessments to revise accounting and other policies and procedures, target internal controls, conduct detailed analytical reviews, refine Transaction sampling and other Transaction audit processes, and other identified areas of risk.

37.2.8   Notification

The Vendor shall immediately notify WSDOT of any security concern, attempted breach, or actual breach.

*** End of Section ***

38 Program Facilities

38.1 Introduction

The Vendor shall provide all physical Facilities necessary for the efficient operation of the Statewide CSC as required by the Contract.

38.2 Requirements

The Vendor shall provide adequately sized and equipped Facilities for the Vendor's Staff to perform the Services required by WSDOT as described in the Scope of Work. The physical location of all Vendor Facilities shall be Approved by WSDOT and shall geographically be as follows:

Facility	Location
Program Management Implementation Office	King County
Program Management Operations Office	King County
WSDOT Drop-In Space	Program Management Operations Office
Customer Service Storefronts	East King County West King County Gig Harbor, WA
CSC Call Center	Washington State
Data Center	United States

Table 2-4: CSC Facility Locations

The Vendor shall submit draft plans for the customer service storefronts for review and comment by WSDOT. The focus of the WSDOT review shall be on the areas established for direct customer service including walk-up windows, waiting areas, and information display. Based on comments from WSDOT, the Vendor shall revise the plans for Approval by WSDOT.

The Facilities provided by the Vendor under the Contract shall comply with and support Requirements of the Americans with Disabilities Act (ADA).

Upon request, WSDOT staff shall have access to the Vendor's Facilities and personnel. This access may be restricted to those portions of the Facilities and personnel involved with or who are otherwise performing Work under the Contract. Such access shall be for the purpose of inspecting the Facilities; verifying progress; inspection of materials, work-in-progress, or finished goods; or verifying test performance or results.

The Vendor Program Management Operations office shall include two additional cubicle or office spaces for WSDOT staff use on a drop-in basis. These spaces shall be equipped with an office desk, chair, telephone, and Internet connection.

WSDOT will retain the right to assume the leases for the Vendor Facilities under the terms and conditions of the Contract.

*** End of Section ***

39 Marketing and Public Relations Support

39.1 Introduction

The Vendor shall provide marketing and public relations support to WSDOT for the promotion of *Good To Go!* and general public outreach.

WSDOT will remain the primary Party responsible for developing the marketing plan, promotional materials, advertising and handling of media relations. WSDOT will contract with consultants from its communications on-call list to provide marketing, public relations, advertising, and research Services for the Program. The Implementation period education and outreach effort will begin with Notice to Proceed and will continue through the end of WSDOT's fiscal year 2011 (June 30, 2011). During this pre-CSC period, WSDOT will maintain an interest list of potential *Good To Go!* Customers who shall be notified by the Vendor as soon as they are able to establish accounts.

39.2 Requirements

The Vendor shall designate a professional-level Staff Person to provide marketing support that compliments WSDOT's activities. This Staff Person shall be onsite and available to WSDOT full-time beginning with Notice to Proceed and continuing through the end of WSDOT's fiscal year 2011 (June 30, 2011). Following this, the Vendor shall designate a professional-level Staff Person for responding to marketing and public relations inquiries from WSDOT. This Staff Person does not need to be onsite. All marketing materials will be developed by WSDOT and provided to the Vendor for use at Customer Service Centers and other appropriate Vendor outlets. Graphic design elements and language will be provided to the Vendor for incorporation into Vendor-generated materials to ensure they are consistent with **WSDOT Standards**.

The Vendor shall provide professional-level Staff support to conduct public relations Services in response to inquiries from the media and other interested parties on *Good To Go!*. WSDOT will respond to all inquiries related to broader tolling policies and work in conjunction with the Vendor to respond to other inquiries as appropriate. When requested, the Vendor shall provide information to help respond to specific questions from the media, government officials and other interested parties. These responses shall be made in a timely manner so as to meet WSDOT response Requirements.

Marketing activities undertaken by the Vendor shall include the following:

1. Adherence to WSDOT and *Good To Go!* branding Requirements.

2. Compliance with WSDOT's Communications Standards.

3. Professional interactions with the public and other parties that reflect the Vendor's role as a representative of WSDOT.

4. Outreach activities that support the establishment of *Good To Go!* accounts, such as mobile CSC setups, distribution of materials, display of signs and posters, and participation in presentations.

5.   An interactive website that provides up-to-date information to both *Good To Go!* Customers and occasional users, and serves as the primary source of information for account holders and those with questions about tolling. WSDOT will provide content and monitor adherence to WSDOT's branding standards. The Vendor shall create and maintain the web pages, in compliance with WSDOT Standards.

6.   A strategy to help distribute written *Good To Go!* materials developed by WSDOT, including brochures, applications, advertisements, articles, and posters.

All marketing and public relations materials and activities shall be Approved by WSDOT prior to occurring. Reports that delineate all marketing and public relations activities undertaken by the Vendor will be submitted on a weekly basis during the Start-Up Phase and on a quarterly basis thereafter.

*** End of Section ***

40 System and Services Modifications

Over the duration of the Contract, WSDOT anticipated that the Statewide Tolling Program will be subject to change. The Vendor shall provided changes to Systems and Services as described in Article VI of the Contract.

<div align="center">*** End of Section ***</div>

41 Business Continuity

41.1 Introduction

The Statewide CSC and its supporting Systems play a vital role in managing WSDOT's Statewide Tolling Program and by extension the efficient flow of people and goods within the State of Washington. As such, ensuring the business continuity of the CSC and its supporting Systems is of paramount importance to WSDOT.

The Vendor shall provide CSC Services to WSDOT in accordance with the functional and performance Requirements of the Contract. Because the approach of the CSC Contract is "Services Only", meaning that WSDOT will not own or operate the System or Software, the Vendor has substantial discretion in the design, architecture, and Software of the System(s) that support CSC Operations and potential to change these Systems throughout the Contract term. However, if a disruption in CSC Services occurs for any reason, CSC Operations shall be restored within a short period of time.

The Requirements in this section are designed to establish the baseline for business continuity to ensure WSDOT, regardless of the means of service delivery or the Systems architecture and Software components of the Vendor's solution, will be able to continue to operate WSDOT's Statewide Tolling Program with minimal interruption to daily Operations under various business disruption scenarios.

41.2 Requirements

41.2.1 Financial Guarantees

The Vendor shall provide a letter of credit as detailed in Contract.

41.2.2 Vendor Approach to Daily Operational Requirements

Per the Approved Program Schedule, the Vendor shall develop, submit, and obtain WSDOT Approval of a Business Continuity Plan. This plan shall document the Vendor's day-to-day policies, guidelines, and procedures for ensuring that Services and Systems of the CSC will be available to WSDOT and its Customers that meet the performance standards required under the Contract. The plan shall address, at a minimum, Vendor management, Vendor staffing, Vendor communications with WSDOT staff, Facilities, Software applications, computer Hardware, network communications, Operations, Maintenance, and issue identification, escalation and remedy.

The Vendor shall update as appropriate and resubmit this Business Continuity Plan for review and Approval by WSDOT annually or after material changes in the Vendor's System(s), architecture, location(s), or Operations (including contracted Services).

41.2.3 Vendor Approach to Significant Unplanned Events

The Vendor shall meet the following Requirements for restoring production Operations in the event of a disaster (including natural and technological disasters, civil emergencies, criminal activity, and other business interruptions):

1.   The Vendor shall restore all priority 1 identified functions to Operations levels within 24 hours as required in the Scope of Work.

2.   The Vendor shall restore all priority 2 identified functions to Operations levels within five (5) Business Days as required in the Scope of Work.

3.   The Vendor shall restore all priority 3 identified functions to Operations levels within thirty (30) Calendar Days as required in the Scope of Work.

The Priority Levels for bringing CSC functions back to productions levels is provided in Table 2-5: Statewide CSC Disaster Functional Continuity Requirements below.

FUNCTIONS	PRIORITY LEVEL		
	1	2	3
1. Automated System Functionality			
a. Software System	X		
b. Hardware	X		
c. Network Communications	X		
2. Language Requirements			X
3. Tolling Point Transaction Level Interoperability		X	
4. Account Establishment		X	
5. Account Management	X		
6. Transponder Management			X
7. Transaction Receipt and Validation	X		
8. Toll Transaction Processing	X		
9. Complaint Tracking and Resolution			X
10. Dispute and Adjudication Process Support			X
11. Customer Service Storefront Services			X
12. Customer Service Internet Services	X		
13. Customer Service Representatives Phone Services	X		
14. Automated Customer Service Phone Services	X		
15. Mail Processing Management		X	
16. Payment Processing		X	
17. Collection Support			X
18. Financial Accounting		X	
19. Reconciliation		X	
20. Reporting			X
21. System to System Interfaces		X	
22. IT Services	X		

FUNCTIONS	PRIORITY LEVEL		
	1	2	3
23. Security Management	X		
24. Program Facilities		X	
25. Marketing and Communications Support	X		

Table 2-5: Statewide CSC Disaster Functional Continuity Requirements

As part of the Business Continuity Plan, the Vendor shall develop, submit, and obtain WSDOT Approval of a Disaster Recovery Plan. This plan shall document the Vendor's Facilities and Operations (including contracted Services), assess the hazards and vulnerabilities the Vendor's Facilities and Operations could face (including natural and technological disasters, civil emergencies, criminal activity, and other business interruptions), and describe how the Vendor shall maintain or recover its Services to WSDOT in the event of a business interruption.

This plan shall include, at a minimum, the Implementation of a back-up System site with full database replication at a location in another geographic region of the United States from where the Vendor's primary Operations environment is located. The Vendor shall be able to switch Operations to this alternate site within two (2) hours of an outage impacting its primary Operations center.

The Vendor's Disaster Recovery Plan shall be fully tested by the Vendor and Approved by WSDOT as part of Acceptance Testing. The Vendor shall then test this Disaster Recovery Plan on at least a semi-annual basis during the Contract period. The Vendor shall notify WSDOT of these ongoing tests, provide WSDOT the opportunity to witness the testing and review the results of the testing with WSDOT upon completion.

The Vendor shall update as appropriate, and resubmit the Disaster Recovery Plan for review and Approval by WSDOT annually or after material changes in the Vendor's System(s), architecture, location(s), or Operations (including contracted Services).

41.2.4 Vendor Assisted Transition of All or Part of Operations

Transition activities of the Contract shall overlap with start-up activities for a **Successor**. The Vendor shall meet the following Requirements for transition of all or part of production Operations. The transition shall take place within one-hundred-eighty (180) Calendar Days of notification from WSDOT. The Successor may be WSDOT or another service provider.

41.2.4.1 Transition Requirements

The Vendor shall confer and cooperate with the Successor to determine the activities required in order to transition in a safe and orderly manner to allow the transitions without interruption of the Services provided under the Contract.

Given the uncertainties associated with transition activities, the Vendor shall be flexible with regards to changing Requirements.

The Vendor shall designate a transition manager who shall serve as the single point of contact for transition related activities.

The Vendor shall make any updates necessary to make current the Approved Transition Plan for the transition process within thirty (30) Calendar Days of notification of transition from WSDOT.

The Vendor shall develop, seek WSDOT Approval for, and manage an issue resolution process for the transition.

The Vendor shall develop, seek WSDOT Approval for, and manage the Data migration plan for all Customer Toll Account, tolling event, financial, and other hardcopy and electronic (including OCR and other image) Data associated with Statewide CSC Operations to WSDOT or designated Successor.

The Vendor shall develop, seek WSDOT Approval for, and manage the system to system interfaces transfer plan.

The Vendor shall develop, seek WSDOT Approval for, and manage the CSC Customer contact transfer plan (website, call-in numbers, P.O. boxes, and other items required for the transfer).

The Vendor shall develop, seek WSDOT Approval for, and manage an Operations shut-down plan. Shut down activities shall include the confidential destruction of certain WSDOT designated hardcopy and electronic records.

WSDOT may request certain transition related documentation or functions be transferred to the Successor before the final transition date. The Vendor shall respond to such requests from WSDOT within ten (10) Calendar Days.

The Vendor shall provide sufficient CSC System and Operations experienced personnel in each division of Work during the entire transition period to ensure that the quality of Services are maintained at the levels required by the Contract.

The Vendor shall provide sufficient Staff to help the Successor maintain the continuity and consistency of the Services required by the Contract. The Vendor shall allow the Successor to conduct on-site interviews with the employees.

The Vendor shall review and update CSC related business process, procedures, database, Business Rules, and related documentation as a part of the transition process, adding any missing information and correcting any deviations from current operating protocol and routing to WSDOT for review and Approval per current Contract Requirements.

The Vendor shall provide the Systems support Services to assist the Successor in setting up the Systems, transfer of appropriate Licenses and third-party Software, and transition of all CSC Data required to sustain uninterrupted customer service.

The Vendor shall assist in the training of the Successor in CSC Operations, Business Rules and Standard Operating Procedures. The Vendor shall allow the Successor access to Operations documentation.

The Vendor shall assign any required Facility leases, licenses, supporting Services contracts, utilities, communications, and any other support contracts to WSDOT.

Depending on the nature of the transition, the Vendor shall allow the Successor use of the CSC System according to the limitations of the Contract. The Vendor shall train the Successor in the use of the CSC System. The Vendor shall assist in the migration of CSC Data to the Successor.

41.2.4.2   *Transition Plan*

According to the Approved Program Schedule, the Vendor shall develop, submit, and obtain WSDOT Approval of a Transition Plan. The Transition Plan shall describe the steps the Vendor will take to support transition of the Vendor's Services in two specific situations as follows:

1. **Vendor Assisted Transition of CSC Operations**: This component of the Transition Plan shall describe the approach the Vendor shall take to support the start-up of CSC Operations by a Successor. The Vendor's plan shall include a timeline for supporting the start-up of such an effort, the lead times required by the Vendor, the Vendor resources required, and any assumptions underlying the resource estimates.

2. **Vendor Assisted Transition to Another Service Provider upon Notification from WSDOT of its Intent to Terminate the Contract**: This component of the Transition Plan shall describe the steps the Vendor will take to transition Statewide CSC Services to another entity upon receiving notification from WSDOT. This plan shall include a detailed outline of the phase-out period, the time period during which equipment or Systems will be removed or Services terminated, due to Contract termination. The period of transition shall not exceed six (6) months and shall include planning, documentation, Data migration, training, and completion of the transition.

The plan shall describe how the Vendor will meet with replacement Staff or contractors to facilitate handover of all WSDOT Customer and financial Data maintained in the CSC System and any other information and property of WSDOT. The plan shall demonstrate how the Vendor will ensure there are no disruptions to Toll collection, CSC Operations, or Operations of the CSC Systems at all times and at all locations during phase-out.

WSDOT may instruct the Vendor to modify the Transition Plan from time to time to ensure this provision for seamless Operations is met. The Vendor will update its Transition Plan as appropriate and resubmit it for review and Approval by WSDOT annually or after material changes in the Vendor's System(s), architecture, location(s), or Operations (including contracted Services).

41.2.5   Suspension of Operations – Vendor Unavailable

The Vendor shall meet the following Requirements for suspension of Operations due to events such as bankruptcy, receivership, liquidation, or similar financial restructuring event which prevent the Vendor from performing the Services required under the Contract.

41.2.5.1   Suspension of Operations Requirements

In the event that the Vendor is unable to provide the Services required under the Contract, The Vendor shall meet the following Requirements for suspension of Operations based on direction from WSDOT:

1.   WSDOT shall have full and immediate access to all CSC Operations related Data, Transponder inventory, and negotiable assets.

2.   WSDOT shall have full access to all CSC System (Hardware, Software, and communications networks), policies, procedures, and Staff related to priority 1 functions within 24 hours as defined previously in this Section. WSDOT shall have the right to transfer Systems, policies, and procedures required to support priority 1 functions to another entity at a pre-determined cost as designated in the WSDOT Approved Suspension of Operations Plan. The Vendor shall not attempt to prevent WSDOT or another entity from offering temporary or permanent employment to Vendor Staff.

3.   WSDOT shall have access to all CSC System (Hardware, Software, and communications networks), policies, procedures, and Staff related to priority 2 functions within five (5) Business Days. WSDOT shall have the right to transfer Systems, policies, and procedures required to support priority 2 functions to another entity at a pre-determined cost as designated in the WSDOT Approved Suspension of Operations Plan.

4.   WSDOT shall have access to all CSC System (Hardware, Software, and communications networks), policies, and procedures related to priority 3 functions within thirty (30) Calendar Days. WSDOT shall have the right to transfer Systems, policies, and procedures required to support priority 2 functions to another entity at a pre-determined cost as designated in the WSDOT Approved Suspension of Operations Plan.

41.2.5.2   Suspension of Operations Plan

Per the Approved Program Schedule, the Vendor shall develop, submit, and obtain WSDOT Approval of a Suspension of Operations Plan. This Suspension of Operations Plan shall describe the steps the Vendor has taken to support transition of the Vendor's Services in the event of an unplanned termination or significant disruption of the Vendor's Services due to bankruptcy, receivership, liquidation or other suspension of the Vendor's business Operations. The Suspension of Operations Plan shall:

1.   Document the steps the Vendor will take to protect WSDOT from the impact of an unplanned termination or significant disruption in the Vendor's normal business Operations. The goal of this plan is to ensure that WSDOT can continue to provide the level of Services required under the Contract or resume Operations with minimal impact to its Customers and no loss of tolling revenue.

2.   Provide WSDOT various options for maintaining continuity of Operations in the event of a significant disruption.

3.   Detail how the Vendor shall operationally implement its approach to mitigating WSDOT's risk of interruption to statewide tolling Operations and revenues in the event of the termination of or significant disruption to the Vendor's business Operations.

Based on the specific approach to CSC Services and System implemented by the Vendor, the Vendor shall document their approach to meeting this Requirement. Examples of potential approaches could include:

1.   Hosting the CSC System in a third-party operated Data center with contracted terms and conditions that allow WSDOT to take over payment for System Operations in the event of the termination of the Vendor's business Operations.

2.   Hosting the CSC System at a third-party operated data center and contracting for a hot site with another third-party to mitigate the impacts to WSDOT from business disruptions to either the Vendor or its hosting Subcontractor.

3.   Daily back up of the CSC System database to an XML-based file format for which WSDOT would have the Data mapping required to migrate the Data to a different copy of the same Software solution hosted by another provider or potentially to a different Software environment.

4.   Vendor granting or assigning to WSDOT the right to transfer the License for any COTS components to WSDOT in the event of termination of business Operations and to retrieve Software in escrow for all custom developed components.

5.   Vendor granting or assigning to WSDOT the right to assume all or a portion of the Licenses and subcontracts, respectively, required to perform the Services of the Vendor under the Contract upon disruption of the Vendor's Services.

6.   Vendor granting WSDOT a nonexclusive, perpetual, non-terminable, irrevocable License to use, demonstrate, modify, prepare derivative works based on; and reproduce Vendor's Software and any third-party Software that the Vendor provides to WSDOT in source code format for WSDOT's internal purposes and for processing Data for other Toll authorities within or adjacent to Washington.

7.   Vendor granting to WSDOT a nonexclusive, perpetual, non-terminable, irrevocable License to use, demonstrate, modify (if possible), prepare derivative works based on, and reproduce the third-party Software, which Vendor provides to WSDOT in executable code format, for WSDOT's internal purposes and for processing Data for other Toll authorities within or adjacent to WSDOT.

8.   Depositing the source code of the CSC System with a third-party escrow service. The Software source code would be released to WSDOT if Operations were suspended.

The Vendor will update its Suspension of Operations Plan as appropriate and resubmit it for review and Approval by WSDOT annually or after material changes in the Vendor's System(s), architecture, location(s), or Operations (including contracted Services).

*** End of Section ***